



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

<p>(51) International Patent Classification <sup>6</sup> : <b>C12N 1/21, 5/00, 15/00</b></p>	<b>A1</b>	<p>(11) International Publication Number: <b>WO 97/35957</b></p> <p>(43) International Publication Date: <b>2 October 1997 (02.10.97)</b></p>
<p>(21) International Application Number: <b>PCT/US97/04494</b></p> <p>(22) International Filing Date: <b>20 March 1997 (20.03.97)</b></p> <p>(30) Priority Data:              08/621,430      25 March 1996 (25.03.96)      US              08/792,409      3 February 1997 (03.02.97)      US</p> <p>(60) Parent Application or Grant              (63) Related by Continuation                  US      08/792,409 (CON)                  Filed on      3 February 1997 (03.02.97)</p> <p>(71) Applicant (for all designated States except US): <b>MAXYGEN, INC. [US/US]; 3410 Central Expressway, Santa Clara, CA 95051 (US).</b></p> <p>(72) Inventor; and              (75) Inventor/Applicant (for US only): <b>STEMMER, Willem, P., C. [NL/US]; 108 Kathy Court, Los Gatos, CA 95030 (US).</b></p> <p>(74) Agents: <b>LIEBESCHUETZ, Joe et al.; Townsend and Townsend and Crew L.L.P., 8th floor, Two Embarcadero Center, San Francisco, CA 94111-3834 (US).</b></p>		
<p>(81) Designated States: <b>AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GE, HU, IL, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, TJ, TM, TR, TT, UA, UG, US, UZ, VN, YU, ARIPO patent (GH, KE, LS, MW, SD, SZ, UG), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).</b></p> <p style="text-align: center;">Published With international search report.</p>		
<p>(54) Title: <b>EVOLVING CELLULAR DNA UPTAKE BY RECURSIVE SEQUENCE RECOMBINATION</b></p> <p>(57) Abstract</p> <p>The invention provides a number of strategies for transferring and/or evolving gene(s) associated with cellular DNA uptake so that they confer or enhance DNA-uptake capacity of a recipient cell. Evolution is achieved by recursive cycles of recombination and screening/selection. One such strategy entails evolving genes that confer competence in one species to confer either greater competence in that species, or comparable or greater competence in a second species. Another strategy entails evolving genes for use as components of a cloning vector to confer enhanced uptake of the vector. Other strategies entail evolving viral receptors, viruses, and genes that mediate conjugal transfer.</p>		
<p style="text-align: center;">Pool of related sequences Panel A</p> <p style="text-align: center;">↓ Random fragmentation Panel B</p> <p style="text-align: center;">↓ Reassemble fragments Panel C</p> <p style="text-align: center;">↓ Library of recombinants Panel D</p> <p style="text-align: center;">↓ Select best recombinants</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">repeat for multiple cycles</p>		

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakhstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

Evolving Cellular DNA Uptake by  
Recursive Sequence Recombination

5

FIELD OF THE INVENTION

The invention applies the fields of classical and molecular genetics to the evolution of DNA sequences for  
10 facilitating cellular DNA uptake by a variety of mechanisms.

BACKGROUND OF THE INVENTION

Most procedures in molecular genetics require means for introducing nucleic acids into cells. This is usually  
15 accomplished by chemical transformation (e.g.,  $\text{CaCl}_2$  treatment), electroporation or, for *E. coli*, in vitro packaging of phage lambda. All of these methods are somewhat labor-intensive and time consuming, particularly, if a procedure requires many cycles of isolating, manipulating and  
20 transforming DNA. Furthermore, the efficiency of the procedures is relatively low. For example, even when transforming purified supercoiled DNA, at best, about 1/100 molecules become stably established in a cell. For ligation mixtures, the efficiencies are 2-3 orders of magnitude lower.  
25 Even these efficiencies are applicable to only a relatively small number of preferred cell types commonly used in genetic engineering. It would be desirable to be able to obtain high transfection efficiency in any cell of interest.

A few bacterial isolates are naturally competent (i.e.,  
30 are capable of taking up DNA from their medium). Reports exist for *Bacillus*, *Neisseria* (Rudel et al., PNAS 92, 7986-7990 (1995); Facius & Meyer, Mol. Microbiol. 10, 699-712 (1993)); *Haemophilus* (Williams et al., J. Bacteriol. 176, 6789-6794 (1994)), *Helicobacter* (Haas et al., Mol. Microbiol. 8, 753-760 (1993)), *Acinetobacter* (Lorenz et al., Arch. Microbiol., 157, 355-360 (1992)), *Streptococcus* (Lopez et al., J. Gen. Microbiol. 135, 2189-2197 (1989)), *Campylobacter*

(Nedenskov-Sorensen, *J. Infect. Dis.* 161, 356-366 (1990)),  
*Synechocystis* (Barten & Lill, *FEMS Microbiol. Lett.* 129, 83-88  
(1995)), *Lactobacillus* and *Amycolatopsis* (Vrijbloed et al.,  
*Plasmid* 34, 96-104 (1995)).

5        Some information has emerged concerning the genetic basis  
of natural competence in bacteria. Some genes have been  
identified and correlated with a role in mediating DNA uptake.  
In *Neisseria*, two proteins, *PilC* and *PilE*, having roles in  
phase variation, have been shown to be essential for natural  
10 competence (Rudel et al., *Proc. Natl. Acad. Sci. USA* 92,  
7986-7990 (1995)). *PilE* is the major pilus subunit protein,  
and *PilC* functions in assembly and adherence of gonococcal  
*pili*. Both genes serve to convert linearized plasmid DNA into  
a DNase-resistant form. DNA uptake requires a  
15 *Neisseria*-specific uptake signal on the DNA and a functional  
*RecA* protein. DNA is taken up in linear form. Transformation  
with non-episomal DNA fragments requires homology to the  
chromosomal DNA to allow integration by homologous  
recombination. Other genes required for DNA uptake, called  
20 *dud*, and for transformation uptake, called *ntr*, have been  
identified (Biswas et al., *J. Bact.*, 171, 657-664 (1989)). In  
*Haemophilus*, the *sxy* gene has been reported to be essential for  
competence. Overexpression of the *sxy* gene product confers  
constitutive competence on wildtype *Haemophilus* cells,  
25 (Williams et al., *J. Bact.*, 176, 6789-6794 (1994)). In *E.*  
*coli*, the *comA* gene has been reported to be involved in natural  
competence (Facijs & Meyer, *Mol. Microbiol.*, 10, 699-712  
(1993)). Regulatory genes involved in competence are the  
homologs of the *E. coli* *cya* gene, encoding adenylate cyclase,  
30 and *E. coli* *crp* genes, encoding the cAMP receptor protein.

The present invention is generally directed to  
transferring genes conferring DNA-uptake capacity in one  
species to another and evolving the genes so that they also  
confer comparable or better DNA-uptake capacity in the second  
35 species and/or the original species. Genes are evolved by a  
process termed recursive sequence recombination which entails  
performing iterative cycles of recombination and

screening/selection. Cells expressing the evolved genes can be transfected without undertaking the time consuming preparatory steps of prior methods and/or with greater efficiency than the cells of prior methods.

5

#### SUMMARY OF THE INVENTION

In a first embodiment, the invention provides methods of enhancing competence of a cell by iterative cycles of recombination and screening/selection. In the first cycle, at least first and second DNA segments from at least one gene conferring DNA competence are recombined. The segments differ from each other in at least two nucleotides. Recombination produces a library of recombinant genes. At least one recombinant gene is screened from the library that confers enhanced competence in the cell relative to a wildtype form of the gene. In the second cycle, at least a segment from one or more of the recombinant genes identified by screening is recombined with a further DNA segment from the gene conferring competence to produce a further library of recombinant genes. At least one further recombinant gene is screened from the further library of recombinant genes that confers enhanced competence in the cell relative to a previous recombinant gene. Further cycles of recombination and screening/selection are performed until a recombinant gene is produced that confers a desired level of enhanced competence in the cell.

Diversity between the first and second segments in the first cycle of recombination can result from generation of the the second segment by error-prone PCR replication of the first segment or propagation of the first segment in a mutator strain. Alternatively, the second segment can be the same as the first segment except that a portion of the first is substituted with a mutagenic cassette.

In some methods, at least one recombining step is performed in vitro, and the resulting library of recombinants is introduced into the cell whose competence is to be enhanced generating a library of cells containing different recombinants. A typical in vitro recombining step entails:

cleaving the first and second segments into fragments;  
mixing and denaturing the fragments; and incubating the  
denatured fragments with a polymerase under conditions which  
result in annealing of the denatured fragments and formation of  
5 the library of recombinant genes.

Often screening/selection identifies a pool of cells  
comprising recombinant genes conferring enhanced competence  
from the library. For example, selection can be achieved by  
transfecting a vector encoding a selective marker into the  
10 library of cells containing different recombinants, and  
selecting for cells expressing the selective marker. In some  
methods, the vector encoding the selective marker is a suicide  
vector.

In some methods, the further DNA segment in the second or  
15 subsequent round of recombination is a recombinant gene or  
library of such genes produced in a previous step. For example,  
the second or subsequent round of recombination can be  
performed by dividing the pool of cells surviving  
screening/selection into first and second pools.

20 Recombinant genes are isolated from the first pool, and  
transfecting into the second pool where the recombinant genes  
from the first and second pools recombine to produce the  
further library of recombinant genes.

In some methods, at least one recombining step  
25 is performed *in vivo*, for example, by homologous recombination  
or by site-specific recombination. *In vivo* recombination can  
be performed, for example, by propagating a collection of  
cells, each cell containing a vector comprising an origin of  
transfer and a member of a recombinant gene library, and each  
30 cell expressing *tra* genes whose expression products conjugally  
transfer the vector between cells.

In some methods at least one of the DNA segments comprises  
a substantially complete genome. In some methods, each of the  
DNA segments comprises a cluster of genes collectively  
35 conferring DNA uptake capacity.

In a second embodiment, the invention provides a modified  
form of a cell, such as is producible by the above methods.

The modification comprises the inclusion of an exogenous gene conferring enhanced competence relative to the cell. Suitable genes include stf or sxy. The exogenous gene is often from a different species than the cell.

5           In a third embodiment, the invention provides methods of enhancing transfection efficiency of a vector into a cell, which again involve iterative cycles of recombination and screening/selection. In the first recombination cycle, a DNA segment to be evolved for enhancing transfection efficiency is  
10   recombined with at least a second DNA segment, the at least a second DNA segment differing from the DNA segment in at least two nucleotides. Recombination produces a library of recombinant DNA segments. The library of recombinant DNA segments are then introduced into a population of cells as a  
15   component of a vector also containing a marker sequence. The cells are screened/selected for a subpopulation of the cells expressing the marker sequence. In the second and any subsequent rounds of recombination, at least one recombinant DNA segment from the subpopulation of cells is recombined with  
20   a further DNA segment, the same or different from the first and second segments, to produce a further library of recombinant DNA segments, which is transfected as a compound of recombinant vectors, each comprising a second marker sequence, the same or different from the first marker sequence, into a further  
25   population of cells. These cells are screened for a further subpopulation of cells expressing the marker sequence. Further cycles of recombination and screening/selection are then performed as necessary until a recombinant vector from one of the further libraries has a desired transfection efficiency in  
30   the cell.

          In a fourth embodiment, the invention provides cell lines rendered susceptible to infection by a virus that is substantially unable to infect the cell line in nature. Susceptibility is conferred by introduction of an exogenous  
35   vector expressing a receptor of a virus on the cell surface. For example, the lamB viral receptor can be expressed on the surface of a cell other than *E. coli* to confer susceptibility

to phage  $\lambda$ .

In a fifth embodiment, the invention provides methods of evolving a receptor of a virus to confer enhanced susceptibility to viral infection in a cell. These methods again involve cycles of recombination and screening/selection. In the first recombination cycle, a first DNA segment encoding the viral receptor or a fragment thereof is recombined with at least a second DNA segment, the segments differing from each other in at least two nucleotides, to produce a library of recombinant genes encoding recombinant viral receptors. A population of cells harboring the recombinant genes and expressing the viral receptors encoded by the recombinant genes on their surface can be infected with the virus and cells that become infected with the virus can be screened/selected. In the second and any subsequent rounds of recombination, at least one recombinant gene, or a fragment thereof, from the cells that become infected is recombined with a further DNA segment, the same or different from the first and second segments, to produce a further library of recombinant genes. The further DNA segment can itself be a recombinant gene or pool of such genes resulting from screening/selection. A second population of cells harboring the further library of recombinant genes and expressing the viral receptors encoded by the library on their surface is infected with the virus, and a further subpopulation of cells that become infected with the virus are screened/selected. Further rounds of recombination/screening are performed until a recombinant gene from a further library confers a desired susceptibility to viral infection in the cell. The methods can be used, for example, to evolve a viral receptor such that the receptor confers susceptibility to viral infection in a heterologous cell.

In a sixth embodiment, the invention provides methods of evolving a virus to increase the efficiency with which it infects a host cell. In a first cycle of recombination, a DNA segment from the virus to be evolved is recombined with at least a second DNA segment, the second DNA segment differing from the first DNA segment in at least two nucleotides, to



produce a library of recombinant DNA segments. Host cells are then contacted with a collection of viruses having genomes including the recombinant DNA segments, and viruses that infect the host cells are identified by screening/selection. In a second round of recombination, at least one recombinant DNA segment from a virus infecting the host cells is recombined with a further DNA segment, the same or different from the first and second segments, to produce a further library of recombinant DNA segments. Additional host cells are contacted with a collection of viruses having genomes including the further recombinant DNA segments, and viruses that infect the additional host cells are identified by screening/selection. Further rounds of recombination and screening/selection are performed as necessary until a virus having a genome including a recombinant segment from a further library infects the host cells with a desired efficiency.

In a seventh embodiment, the invention provides methods of evolving a gene to confer enhanced conjugative transfer. In a first recombination step, at least first and second DNA segments from at least one conjugative transfer gene are recombined, the segments differing from each other in at least two nucleotides, to produce a library of recombinant genes. At least one recombinant gene from the library that confers enhanced conjugal transfer between cells relative to a wildtype form of the gene is identified by screening/selection. In a second round of recombination, at least a segment from the at least one recombinant gene is recombined with a further DNA segment from the at least one gene, the same or different from the first and second segments, to produce a further library of recombinant genes. At least one further recombinant gene from the further library of recombinant genes that confers enhanced conjugal transfer between cells relative to a previous recombinant gene is identified by screening/selection. Further cycles of recombination and screening/selection are performed until the further recombinant gene confers a desired level of enhanced conjugal transfer between cells.

In some methods of enhancing conjugal transfer of nucleic

acids between cells, the first cycle of recombination is performed by propagating a collection of cells containing vectors comprising an origin of transfer, a marker sequence, and a library member sequence from a library of variant forms of a conjugative transfer gene, whereby the library member sequences conjugally transfer between cells and recombine with each other to generate vectors comprising recombinant library member sequences. Screening is performed by contacting the collection of cells with a second collection of cells and identifying cells from the second collection of cells that express the marker sequence. In the second round of recombination the cells identified in the previous screening step are propagated whereby recombinant library member sequences conjugally transfer between the cells and recombine with each other to generate vectors comprising further recombinant library member sequences. A second round of screening is performed by contacting the cells with a further collection of cells and identifying cells from the further collection of cells that express the marker sequence. Further rounds of recombination and screening/selection are performed as necessary until a further recombinant library member sequence is obtained conferring conjugal transfer with a desired efficiency.

#### BRIEF DESCRIPTION OF THE FIGURES

Fig. 1: Scheme for *in vitro* shuffling of genes.

Fig. 2: Scheme for selecting genes conferring competence.

Fig. 3: Scheme for performing recombination between recombinant genes surviving a previous round of screening/selection.

Fig. 4: Scheme for selecting DNA sequences enhancing DNA uptake when present on a vector.

Fig. 5: Schemes for selecting viral receptor genes and other cellular genes conferring susceptibility to viral infection.

A. Selection for genes that allow stable establishment of a virus within the cell.

B. Selection for genes that allow productive viral infection.

Fig. 6: Selection for viruses capable of infecting a cell.

5 A. Selection for viruses that stably establish within a cell.

B. Selection for viruses that productively infect a cell.

10 Fig. 7: Scheme for selection of conjugative genes with enhanced conjugative transfer properties.

#### DEFINITIONS

Screening is, in general, a two-step process in which one first determines which cells do and do not express a screening marker and then physically separates the cells having the  
15 desired property. Selection is a form of screening in which identification and physical separation are achieved simultaneously by expression of a selection marker, which, in some genetic circumstances, allows cells expressing the marker to survive while other cells die (or vice versa). Screening  
20 markers include luciferase,  $\beta$ -galactosidase, and green fluorescent protein. Selection markers include drug and toxin resistance genes.

An exogenous DNA segment is one foreign (or heterologous) to the cell or homologous to the cell but in a position within  
25 the host cell nucleic acid in which the element is not ordinarily found. Exogenous DNA segments are expressed to yield exogenous polypeptides.

The term gene is used broadly to refer to any segment of DNA associated with a biological function. Thus, genes include  
30 coding sequences and/or the regulatory sequences required for their expression. Genes also include nonexpressed DNA segments that, for example, form recognition sequences for other proteins.

Percentage sequence identity is calculated by comparing  
35 two optimally aligned sequences over the window of comparison, determining the number of positions at which the identical nucleic acid base occurs in both sequences to yield the number

of matched positions, dividing the number of matched positions by the total number of positions in the window of comparison. Optimal alignment of sequences for aligning a comparison window can be conducted by computerized implementations of algorithms  
5 GAP, BESTFIT, FASTA, and TFASTA in the Wisconsin Genetics Software Package Release 7.0, Genetics Computer Group, 575 Science Dr., Madison, WI.

The term naturally-occurring is used to describe an object can be found in nature. For example, a polypeptide or  
10 polynucleotide sequence that is present in an organism (including viruses) that can be isolated from a source in nature and which has not been intentionally modified by man in the laboratory is naturally-occurring. Generally, the term naturally-occurring refers to an object as present in a non-  
15 pathological (undiseased) individual, such as would be typical for the species.

#### DETAILED DISCLOSURE

##### I. General

The invention provides a number of strategies for  
20 transferring and/or evolving gene(s) associated with cellular DNA uptake such that they confer or enhance DNA-uptake capacity of recipient cells. One strategy entails evolving genes that confer competence in one species to confer either greater competence in that species, or comparable or greater competence  
25 in a second species. The second species expressing such as gene can then be transformed with DNA at high efficiency without the need for procedures such as chemical transformation or electroporation. Such genes can also be evolved to increase the efficiency of chemical transformation or electroporation.  
30 A second strategy entails evolving DNA segments that when present on incoming DNA increase the efficiency with which the incoming DNA is taken up. The evolved DNA segments are suitable for inclusion in standard cloning vectors. Cloning vectors incorporating such sequences are transformed at higher  
35 efficiency that would otherwise be the case, and/or can be transformed without the need to treat cells with chemicals or electroporation. A third strategy entails evolving viral

receptors and/or viruses binding to the receptors to allow viruses to infect cells that would normally be resistant to viral infection. For example, the *E. coli*  $\lambda$ B receptor, which is recognized by phage  $\lambda$ , can be transferred to different cell types, and evolved to allow  $\lambda$  to infect such cell types. Optionally,  $\lambda$  can itself be involved to increase the efficiency with which it infects the foreign cell type. A fourth strategy entails evolving genes conferring or associated with conjugative transfer for enhanced efficiency and/or efficacy in a foreign cell type (donor or recipient).

The strategies generally entail evolution of gene(s) or segment(s) thereof to allow retention of function in a heterologous cell or improvement of function in a homologous cell. Evolution is effected by a process termed recursive sequence recombination, which can be achieved in many different formats and permutations of formats, as described in further detail below. These formats share some common principles. Recursive sequence recombination entails successive cycles of recombination to generate molecular diversity. That is, create a family of nucleic acid molecules showing substantial sequence identity to each other but differing in the presence of mutations. Each recombination cycle is followed by at least one cycle of screening or selection for molecules having a desired characteristic. The molecule(s) selected in one round form the starting materials for generating diversity in the next round. In any given cycle, recombination can occur *in vivo* or *in vitro*. Furthermore, diversity resulting from recombination can be augmented in any cycle by applying prior methods of mutagenesis (e.g., error-prone PCR or cassette mutagenesis) to either the substrates or products for recombination.

## II. Formats for Recursive Sequence Recombination

Some formats and examples for recursive sequence recombination, sometimes referred to as DNA shuffling or molecular breeding, have been described by the present inventors and co-workers in copending application, attorney

docket no. 16528A-014612, filed March 25, 1996, PCT/US95/02126 filed February 17, 1995 (published as WO 95/22625); Stemmer, *Science* 270, 1510 (1995); Stemmer et al., *Gene*, 164, 49-53 (1995); Stemmer, *Bio/Technology*, 13, 549-553 (1995); Stemmer, *Proc. Natl. Acad. Sci. USA* 91, 10747-10751 (1994); Stemmer, *Nature* 370, 389-391 (1994); Cramer et al., *Nature Medicine*, 2(1):1-3, (1996); Cramer et al., *Nature Biotechnology* 14, 315-319 (1996) (each of which is incorporated by reference in its entirety for all purposes).

(1) In Vitro Formats

One format for shuffling *in vitro* is illustrated in Fig.

1. The initial substrates for recombination are a pool of related sequences. The X's in the Fig. 1, panel A, show where the sequences diverge. The sequences can be DNA or RNA and can be of various lengths depending on the size of the gene or DNA fragment to be recombined or reassembled. Preferably the sequences are from 50 bp to 50 kb.

The pool of related substrates can be fragmented, usually at random, into fragments of from about 5 bp to 5 kb or more, as shown in Fig. 1, panel B. Preferably the size of the random fragments is from about 10 bp to 1000 bp, more preferably the size of the DNA fragments is from about 20 bp to 500 bp. The substrates can be digested by a number of different methods, such as DNaseI or RNase digestion, random shearing or restriction enzyme digestion. The concentration of nucleic acid fragments of a particular length or sequence is often less than 0.1 % or 1% by weight of the total nucleic acid. The number of different specific nucleic acid fragments in the mixture is usually at least about 100, 500 or 1000.

The mixed population of nucleic acid fragments are denatured by heating to about 80 °C to 100 °C, more preferably from 90 °C to 96 °C, to form single-stranded nucleic acid fragments and then reannealed. Single-stranded nucleic acid fragments having regions of sequence identity with other single-stranded nucleic acid fragments can then be reannealed by cooling to 20 °C to 75 °C, and preferably from 40 °C to 65 °C. Renaturation can be accelerated by the addition of

polyethylene glycol ("PEG") or salt. The salt concentration is preferably from 0 mM to 200 mM, more preferably the salt concentration is from 10 mM to 100 mM. The salt may be KCl or NaCl. The concentration of PEG is preferably from 0% to 20%,  
5 more preferably from 5% to 10%. The fragments that reanneal can be from different substrates as shown in Fig. 1, panel C.

The annealed nucleic acid fragments are incubated in the presence of a nucleic acid polymerase, such as Taq or Klenow, and dNTP's (i.e. dATP, dCTP, dGTP and dTTP). If regions of  
10 sequence identity are large, Taq polymerase can be used with an annealing temperature of between 45-65°C. If the areas of identity are small, Klenow polymerase can be used with an annealing temperature of between 20-30°C. The polymerase can be added to the random nucleic acid fragments prior to  
15 annealing, simultaneously with annealing or after annealing.

The cycle of denaturation, renaturation and incubation in the presence of polymerase is sometimes referred to as shuffling of the nucleic acid in vitro. This cycle is repeated for a desired number of times. Preferably the cycle is  
20 repeated from 2 to 100 times, more preferably the sequence is repeated from 10 to 40 times. The resulting nucleic acids are a family of double-stranded polynucleotides of from about 50 bp to about 100 kb, preferably from 500 bp to 50 kb, as shown in Fig. 1, panel D. The population represents variants of the  
25 starting substrates showing substantial sequence identity thereto but also diverging at several positions. The population has many more members than the starting substrates. The population of fragments resulting from shuffling is cloned into an appropriate vector and the ligation mixture used to  
30 transform host cells.

In a variation of in vitro shuffling, subsequences of recombination substrates can be generated by amplifying the full-length sequences under conditions which produce a substantial fraction, typically at least 20 percent or more, of  
35 incompletely extended amplification products. The amplification products, including the incompletely extended amplification products are denatured and subjected to at least

one additional cycle of reannealing and amplification. This variation, wherein at least one cycle of reannealing and amplification provides a substantial fraction of incompletely extended products, is termed "stuttering." In the subsequent  
5 amplification round, the incompletely extended products reanneal to and prime extension on different sequence-related template species.

In a further variation, at least one cycle of amplification can be conducted using a collection of  
10 overlapping single-stranded DNA fragments of related sequence, and different lengths. Each fragment can hybridize to and prime polynucleotide chain extension of a second fragment from the collection, thus forming sequence-recombined  
15 polynucleotides. In a further variation, ssDNA fragments of variable length can be generated from a single primer by Vent DNA polymerase on a first DNA template. The single stranded DNA fragments are used as primers for a second, Kunkel-type template, consisting of a uracil-containing circular ssDNA. This results in multiple substitutions of the first template  
20 into the second. See Levichkin et al., *Mol. Biology*, 29, 572-577 (1995).

## (2) In Vivo Formats

### (a) Plasmid-Plasmid Recombination

25 The initial substrates for recombination are a collection of polynucleotides comprising variant forms of a gene. The variant forms usually show substantial sequence identity to each other sufficient to allow homologous recombination between substrates. The diversity between the polynucleotides can be  
30 natural (e.g., allelic or species variants), induced (e.g., error-prone PCR), or the result of in vitro recombination. Diversity can also result from resynthesizing genes encoding natural proteins with alternative codon usage. There should be at least sufficient diversity between substrates that  
35 recombination can generate more diverse products than there are starting materials. There must be at least two substrates differing in at least two positions. However, commonly a



library of substrates of  $10^3$ - $10^8$  members is employed. The degree of diversity depends on the length of the substrate being recombined and the extent of the functional change to be evolved. Diversity at between 0.1-25% of positions is typical.

5       The diverse substrates are incorporated into plasmids. The plasmids are often standard cloning vectors, e.g., bacterial multicopy plasmids. However, in some methods to be described below, the plasmids include MOB functions. The substrates can be incorporated into the same or different  
10       plasmids. Often at least two different types of plasmid having different types of selection marker are used to allow selection for cells containing at least two types of vector. Also, where different types of plasmid are employed, the different plasmids can come from two distinct incompatibility groups to allow  
15       stable co-existence of two different plasmids within the cell. Nevertheless, plasmids from the same incompatibility group can still co-exist within the same cell for sufficient time to allow homologous recombination to occur.

Plasmids containing diverse substrates are initially  
20       introduced into cells by any transfection methods (e.g., chemical transformation, natural competence, electroporation or biolistics). Often, the plasmids are present at or near saturating concentration (with respect to maximum transfection capacity) to increase the probability of more than one plasmid  
25       entering the same cell. The plasmids containing the various substrates can be transfected simultaneously or in multiple rounds. For example, in the latter approach cells can be transfected with a first aliquot of plasmid, transfectants selected and propagated, and then infected with a second  
30       aliquot of plasmid.

Having introduced the plasmids into cells, recombination between substrates to generate recombinant genes occurs within cells containing multiple different plasmids merely by propagating the cells. However, cells that receive only one  
35       plasmid are unable to participate in recombination and the potential contribution of substrates on such plasmids to evolution is not fully exploited (although these plasmid may

contribute to some extent if they are propagated in mutator cells). The rate of evolution can be increased by allowing all substrates to participate in recombination. Such can be achieved by subjecting transfected cells to electroporation.

5 The conditions for electroporation are the same as those conventionally used for introducing exogenous DNA into cells (e.g., 1,000-2,500 volts, 400  $\mu$ F and a 1-2 mm gap). Under these conditions, plasmids are exchanged between cells allowing all substrates to participate in recombination. In addition  
10 the products of recombination can undergo further rounds of recombination with each other or with the original substrate. The rate of evolution can also be increased by use of conjugative transfer. To exploit conjugative transfer, substrates can be cloned into plasmids having MOB genes, and  
15 tra genes are also provided in cis or in trans to the MOB genes. The effect of conjugative transfer is very similar to electroporation in that it allows plasmids to move between cells and allows recombination between any substrate, and the products of previous recombination to occur merely by  
20 propagating the culture. The details of how conjugative transfer is exploited in these vectors are discussed in more detail below. The rate of evolution can also be increased by fusing cells to induce exchange of plasmids or chromosomes. Fusion can be induced by chemical agents, such as PEG, or viral  
25 proteins, such as influenza virus hemagglutinin, HSV-1 gB and gD. The rate of evolution can also be increased by use of mutator host cells (e.g., Mut L, S, D, T, H and Ataxia telangiectasia human cell lines).

The time for which cells are propagated and recombination  
30 is allowed to occur, of course, varies with the cell type but is generally not critical, because even a small degree of recombination can substantially increase diversity relative to the starting materials. Cells bearing plasmids containing recombined genes are subject to screening or selection for a  
35 desired function. For example, if the substrate being evolved contains a drug resistance gene, one would select for drug resistance. Cells surviving screening or selection can be

subjected to one or more rounds of screening/selection followed by recombination or can be subjected directly to an additional round of recombination.

5 The next round of recombination can be achieved by several different formats independently of the previous round. For example, a further round of recombination can be effected simply by resuming the electroporation or conjugation-mediated intercellular transfer of plasmids described above.

10 Alternatively, a fresh substrate or substrates, the same or different from previous substrates, can be transfected into cells surviving selection/screening. Optionally, the new substrates are included in plasmid vectors bearing a different selective marker and/or from a different incompatibility group than the original plasmids. As a further alternative, cells  
15 surviving selection/screening can be subdivided into two subpopulations, and plasmid DNA from one subpopulation transfected into the other, where the substrates from the plasmids from the two subpopulations undergo a further round of recombination. In either of the latter two options, the rate  
20 of evolution can be increased by employing DNA extraction, electroporation, conjugation or mutator cells, as described above. In a still further variation, DNA from cells surviving screening/selection can be extracted and subjected to in vitro DNA shuffling.

25 After the second round of recombination, a second round of screening/selection is performed, preferably under conditions of increased stringency. If desired, further rounds of recombination and selection/screening can be performed using the same strategy as for the second round. With successive  
30 rounds of recombination and selection/screening, the surviving recombined substrates evolve toward acquisition of a desired phenotype. Typically, in this and other methods of recursive recombination, the final product of recombination that has acquired the desired phenotype differs from starting substrates  
35 at 0.1%-25% of positions and has evolved at a rate orders of magnitude in excess (e.g., by at least 10-fold, 100-fold, 1000-fold, or 10,000 fold) of the rate of naturally acquired

mutation of about 1 mutation per  $10^{-9}$  positions per generation (see Anderson & Hughes, *Proc. Natl. Acad. Sci. USA* 93, 906-907 (1996)).

5            (b) Virus-Plasmid Recombination

          The strategy used for plasmid-plasmid recombination can also be used for virus-plasmid recombination; usually, phage-plasmid recombination. However, some additional comments particular to the use of viruses are appropriate. The initial  
10 substrates for recombination are cloned into both plasmid and viral vectors. It is usually not critical which substrate(s) are inserted into the viral vector and which into the plasmid, although usually the viral vector should contain different substrate(s) from the plasmid. As before, the plasmid (and the  
15 virus) typically contains a selective marker. The plasmid and viral vectors can both be introduced into cells by transfection as described above. However, a more efficient procedure is to transfect the cells with plasmid, select transfectants and infect the transfectants with virus. Because the efficiency of  
20 infection of many viruses approaches 100% of cells, most cells transfected and infected by this route contain both a plasmid and virus bearing different substrates.

          Homologous recombination occurs between plasmid and virus generating both recombined plasmids and recombined virus. For  
25 some viruses, such as filamentous phage, in which intracellular DNA exists in both double-stranded and single-stranded forms, both can participate in recombination. Provided that the virus is not one that rapidly kills cells, recombination can be augmented by use of electroporation or conjugation to transfer  
30 plasmids between cells. Recombination can also be augmented for some types of virus by allowing the progeny virus from one cell to reinfect other cells. For some types of virus, virus infected-cells show resistance to superinfection. However, such resistance can be overcome by infecting at high  
35 multiplicity and/or using mutant strains of the virus in which resistance to superinfection is reduced.

          The result of infecting plasmid-containing cells with

virus depends on the nature of the virus. Some viruses, such as filamentous phage, stably exist with a plasmid in the cell and also extrude progeny phage from the cell. Other viruses, such as lambda having a cosmid genome, stably exist in a cell like plasmids without producing progeny virions. Other viruses, such as the T-phage and lytic lambda, undergo recombination with the plasmid but ultimately kill the host cell and destroy plasmid DNA. For viruses that infect cells without killing the host, cells containing recombinant plasmids and virus can be screened/selected using the same approach as for plasmid-plasmid recombination. Progeny virus extruded by cells surviving selection/screening can also be collected and used as substrates in subsequent rounds of recombination. For viruses that kill their host cells, recombinant genes resulting from recombination reside only in the progeny virus. If the screening or selective assay requires expression of recombinant genes in a cell, the recombinant genes should be transferred from the progeny virus to another vector, e.g., a plasmid vector, and retransfected into cells before selection/screening is performed.

For filamentous phage, the products of recombination are present in both cells surviving recombination and in phage extruded from these cells. The dual source of recombinant products provides some additional options relative to the plasmid-plasmid recombination. For example, DNA can be isolated from phage particles for use in a round of *in vitro* recombination. Alternatively, the progeny phage can be used to transfect or infect cells surviving a previous round of screening/selection, or fresh cells transfected with fresh substrates for recombination.

#### (c) Virus-Virus Recombination

The principles described for plasmid-plasmid and plasmid-viral recombination can be applied to virus-virus recombination with a few modifications. The initial substrates for recombination are cloned into a viral vector. Usually, the same vector is used for all substrates. Preferably, the virus

is one that, naturally or as a result of mutation, does not kill cells. After insertion, some viral genomes can be packaged in vitro. The packaged viruses are used to infect cells at high multiplicity such that there is a high

5 probability that a cell will receive multiple viruses bearing different substrates.

After the initial round of infection, subsequent steps depend on the nature of infection as discussed in the previous section. For example, if the viruses have phagemid genomes  
10 such as lambda cosmids or M13, F1 or Fd phagemids, the phagemids behave as plasmids within the cell and undergo recombination simply by propagating the cells. Recombination is particularly efficient between single-stranded forms of intracellular DNA. Recombination can be augmented by  
15 electroporation of cells. Following selection/screening, cosmids containing recombinant genes can be recovered from surviving cells (e.g., by heat induction of a  $\cos^-$  lysogenic host cell), repackaged in vitro, and used to infect fresh cells at high multiplicity for a further round of recombination.

20 If the viruses are filamentous phage, recombination of replicating form DNA occurs by propagating the culture of infected cells. Selection/screening identifies colonies of cells containing viral vectors having recombinant genes with improved properties, together with phage extruded from such  
25 cells. Subsequent options are essentially the same as for plasmid-viral recombination.

#### (d) Chromosome-Plasmid Recombination

This format can be used to evolve both the chromosomal and plasmid-borne substrates. The format is particularly useful in  
30 situations in which many chromosomal genes contribute to a phenotype or one does not know the exact location of the chromosomal gene(s) to be evolved. The initial substrates for recombination are cloned into a plasmid vector. If the chromosomal gene(s) to be evolved are known, the substrates  
35 constitute a family of sequences showing a high degree of sequence identity but some divergence from the chromosomal gene. If the chromosomal genes to be evolved have not been

located, the initial substrates usually constitute a library of DNA segments of which only a small number show sequence identity to the gene or gene(s) to be evolved. Divergence between plasmid-borne substrate and the chromosomal gene(s) can be induced by mutagenesis or by obtaining the plasmid-borne substrates from a different species than that of the cells bearing the chromosome.

The plasmids bearing substrates for recombination are transfected into cells having chromosomal gene(s) to be evolved. Evolution can occur simply by propagating the culture, and can be accelerated by transferring plasmids between cells by conjugation or electroporation. Evolution can be further accelerated by use of mutator host cells or by seeding a culture of nonmutator host cells being evolved with mutator host cells and inducing intercellular transfer of plasmids by electroporation or conjugation. Preferably, mutator host cells used for seeding contain a negative selection marker to facilitate isolation of a pure culture of the nonmutator cells being evolved. Selection/screening identifies cells bearing chromosomes and/or plasmids that have evolved toward acquisition of a desired function.

Subsequent rounds of recombination and selection/screening proceed in similar fashion to those described for plasmid-plasmid recombination. For example, further recombination can be effected by propagating cells surviving recombination in combination with electroporation or conjugative transfer of plasmids. Alternatively, plasmids bearing additional substrates for recombination can be introduced into the surviving cells. Preferably, such plasmids are from a different incompatibility group and bear a different selective marker than the original plasmids to allow selection for cells containing at least two different plasmids. As a further alternative, plasmid and/or chromosomal DNA can be isolated from a subpopulation of surviving cells and transfected into a second subpopulation. Chromosomal DNA can be cloned into a plasmid vector before transfection.

### (e) Virus-Chromosome Recombination

As in the other methods described above, the virus is usually one that does not kill the cells, and is often a phage or phagemid. The procedure is substantially the same as for  
5 plasmid-chromosome recombination. Substrates for recombination are cloned into the vector. Vectors including the substrates can then be transfected into cells or *in vitro* packaged and introduced into cells by infection. Viral genomes recombine with host chromosomes merely by propagating a culture.

10 Evolution can be accelerated by allowing intercellular transfer of viral genomes by electroporation, or reinfection of cells by progeny virions. Screening/selection identifies cells having chromosomes and/or viral genomes that have evolved toward acquisition of a desired function.

15 There are several options for subsequent rounds of recombination. For example, viral genomes can be transferred between cells surviving selection/recombination by electroporation. Alternatively, viruses extruded from cells surviving selection/screening can be pooled and used to  
20 superinfect the cells at high multiplicity. Alternatively, fresh substrates for recombination can be introduced into the cells, either on plasmid or viral vectors.

## III. Evolution and/or Transfer of Genes Conferring Cellular Uptake Capacity

### (1) Genes Conferring Cellular Uptake Capacity

The strategy of this approach is to take a gene (for example, a coding sequence or a cis-acting nonexpressed  
30 sequence) associated with DNA uptake capacity in one cell type, and to evolve that gene either for improved DNA uptake capacity in the same cell type or so that it can function in a second cell type. A gene is associated with DNA uptake capacity if, in at least some circumstances, cells bearing a functional copy  
35 of the gene take up DNA more effectively than cells lacking such a copy. Efficacy can be determined, for example, either by the percentage of cells taking up DNA (i.e., competence) or



by the ratio of transformed cells to mass input DNA (transfection efficiency). Genes of particular interest are those associated with natural competence. That is, genes that allow bacterial or eucaryotic cells to take up DNA from the media without elaborate preparatory steps, such as in chemical transformation or electroporation. Some such genes were discussed in the background section. In nature, natural competence is most efficient when cells are starved for a carbon source. However, by evolution and/or high-level recombinant expression of genes conferring competence, cells harboring such genes can take up DNA directly from culture media, with few, if any, preparatory steps. Genes that confer high transfection efficacy as a result of some preparatory treatment of cells are also of interest.

In some instances, the starting material for recursive recombination is a discrete gene or cluster of genes known to be associated with DNA-uptake capacity. The starting material can also be a segment of such a gene or cluster, that is recombined in isolation of its surrounding DNA, but is relinked to its surrounding DNA before screening/selection of recombination products. In other instances, the starting material for recombination is a larger segment of DNA that includes a coding sequence or other locus associated with DNA-uptake at an unknown location. For example, the starting material can be a chromosome, episome, BAC or YAC clones. In still other instances, the starting material is the whole genome of an organism that is known to have desirable DNA-uptake characteristics, but for which no information localizing the genes associated with these characteristics is available.

## (2) Recipient Cells

In general any type of cells for which improved DNA-uptake properties are desired can be used as a recipient of evolved genes. Cells of particular interest include eukaryotic cells, particularly mammalian cells (e.g., mouse, hamster, primate, human), both cell lines and primary cultures. Such cells include stem cells, including embryonic stem cells,

zygotes, fibroblasts, lymphocytes, Chinese hamster ovary (CHO), mouse fibroblasts (NIH3T3), kidney, liver, muscle, and skin cells. Other eucaryotic cells of interest include plant cells, such as maize, rice, wheat, cotton, soybean, sugarcane, tobacco, and arabidopsis; fish, algae, fungi (aspergillus, podospora, neurospora), insect (e.g., baculo lepidoptera), yeast (picchia and saccharomyces). Also of interest are many bacterial cell types, both gram-negative and gram-positive, such as Bacillus, Escherichia coli, Pseudomonas, Salmonella, and Erwinia.

(3) Application of Recursive Recombination Formats to Evolving Genes Conferring DNA Uptake Capacity in a Recipient Cell

The procedure starts with at least two substrates, which generally show substantial sequence identity to each other (i.e., at least about 50%, 70%, 80% or 90% sequence identity) but differ from each other at certain positions. The difference can be any type of mutation, for example, substitutions, insertions and deletions. Often, different segments differ from each other in perhaps 5-20 positions. For recombination to generate increased diversity relative to the starting materials, the starting materials must differ from each other in at least two nucleotide positions. That is, if there are only two substrates, there should be at least two divergent positions. If there are three substrates, for example, one substrate can differ from the second as a single position, and the second can differ from the third at a different single position. The starting DNA segments can be natural variants of each other, for example, allelic or species variants. The segments can also be from nonallelic genes showing some degree of structural and usually functional relatedness (e.g., different genes within a superfamily such as the immunoglobulin superfamily). The starting DNA segments can also be induced variants of each other. For example, one DNA segment can be produced by error-prone PCR replication of the other, or by substitution of a mutagenic cassette. Induced

mutants can also be prepared by propagating one (or both) of the segments in a mutagenic strain. In these situations, strictly speaking, the second DNA segment is not a single segment but a large family of related segments. The different segments forming the starting materials are often the same length or substantially the same length. However, this need not be the case; for example; one segment can be a subsequence of another. The segments can be present as part of larger molecules, such as vectors, or can be in isolated form.

The starting DNA segments are recombined by any of the formats described above to generate a diverse library of recombinant DNA segments. Such a library can vary widely in size from having fewer than 10 to more than  $10^5$ ,  $10^7$ , or  $10^9$  members. In general, the starting segments and the recombinant libraries generated include full-length coding sequences and any essential regulatory sequences, such as a promoter and polyadenylation sequence, required for expression. However, if this is not the case, the recombinant DNA segments in the library can be inserted into a common vector providing the missing sequences before performing screening/selection.

If the recursive recombination format employed was an *in vivo* format, the library of recombinant DNA segments generated already exists in a cell, which is usually, the cell type in which enhanced DNA-uptake characteristics are desired. If recursive recombination was performed *in vitro*, the recombinant library should be introduced into the desired cell type before screening/selection. The members of the recombinant library can be linked to an episome before introduction or can be introduced directly. The manner in which the library is introduced into the cell type depends on the original DNA-uptake characteristics of the cell type. For example, if the cell type is insusceptible to natural and chemical-induced competence, but susceptible to electroporation, one would usually employ electroporation. If the cell type is insusceptible to electroporation as well, one can employ biolistics. The biolistic PDS-1000 Gene Gun (Biorad, Hercules, CA) uses helium pressure to accelerate DNA-coated gold or

tungsten microcarriers toward target cells. The process is applicable to a wide range of tissues, including plants, bacteria, fungi, algae, intact animal tissues, tissue culture cells, and animal embryos. Alternatively, one can employ  
5 electronic pulse delivery, which is essentially a mild electroporation format for live tissues in animals and patients. Zhao, *Advanced Drug Delivery Reviews* 17, 257-262 (1995). After introduction of the library of recombinant DNA genes, the cells are optionally propagated to allow expression  
10 of genes to occur.

The goal of screening/selection is to identify members of the library of recombinant genes conferring enhanced DNA-uptake characteristics in the recipient cell. Screening/selection is usually performed by introducing a vector bearing a marker into  
15 the recipient cells transformed with the recombinant library, and screening or selecting for cells expressing the marker, as shown in Fig. 2. Alternatively, the vector bearing the marker can be co-introduced with the recombinant library.

The upper part of Fig. 2 represents a collection of cells  
20 containing a library of variant competence genes differing between different cells. The collection of cells is then transfected with a vector encoding a marker function in the cells. The conditions under which the vector bearing the marker is introduced into the cells should be the conditions  
25 under which one wants to evolve the uptake genes to confer improved performance. That is, if a gene is evolved to confer natural competence, the vector should be introduced into the cells under a natural competence regime. The natural competence regime can be increased in stringency in successive  
30 rounds of screening/selection. For example, one can start with a regime in which cells have been starved of a carbon source, and progress to a regime in which DNA is simply added to a nutrient-rich broth. If a gene is to be evolved to confer enhanced electroporation characteristics, the vector should be  
35 introduced into the cells by electroporation. If the gene is to be evolved to confer enhanced chemical transformation, the vector should be introduced into the cells by chemical

transformation. The marker should be capable of being expressed and readily detected in the recipient cell type, but its characteristics are not otherwise critical. For examples, genes conferring drug resistance, such as *neo<sup>R</sup>*, *Cm<sup>R</sup>*, *Ap<sup>R</sup>*, *Kn<sup>R</sup>*,  
5 *Hyg*, *His<sup>D</sup>*, *Gpt*, *Ble*, *Hprt*, HSV-tk, *Gpt*, Diphtheria toxin, ricin toxin, and cytosine deaminase are suitable.

In some embodiments, the vector bearing the marker is a suicide vector. That is, a vector that transiently expresses the marker for a sufficient time to screen for or select a cell  
10 bearing the vector, but which is then degraded or otherwise rendered incapable of expressing the marker. The advantage of using a suicide vector is that subsequent rounds of screening/selection (to be described below) can be employed using the same marker. For example, some suicide vectors express a  
15 long-lived toxin which is neutralized by a short-lived molecule expressed from the same vector. Expression of the toxin alone will not allow vector to be established. Jense & Gerdes, *Mol. Microbiol.*, 17, 205-210 (1995); Bernard et al., *Gene* 162, 159-160. Alternatively, a vector can be rendered suicidal by  
20 incorporation of a defective origin of replication or by omission of an origin of replication. Such vectors can be selected to have a wide range of stabilities.

The pool of cells surviving screening/selection is enriched for recombinant genes conferring enhanced DNA-uptake  
25 capacity (see Fig. 2). Further enrichment can be obtained, if desired, by performing a second round of screening/selection without generating additional diversity. If a suicide vector was employed in the initial screening/selection, the same vector can be employed in the second round. Otherwise, a  
30 vector bearing a different marker and having a different compatibility origin is required. Cells surviving two rounds of screening/selection are further enriched for a recombinant gene or pool of such genes conferring enhanced uptake characteristics.

35 The recombinant gene or pool of such genes surviving one round of screening/selection forms one or more of the substrates for a second round of recombination. Again

recombination can be performed *in vivo* or *in vitro* by any of the recursive recombination formats described above. If recursive recombination is performed *in vitro*, the recombinant gene or genes to form the substrate for recombination should be extracted (or PCR amplified) from the cells in which screening/selection was performed. Optionally, a subsequence of such gene or genes can be excised for more targeted subsequent recombination. If the recombinant genes are contained within episomes, their isolation presents no difficulties. If the recombinant genes are chromosomally integrated, they can be isolated by amplification primed from known sequences flanking the regions in which recombination has occurred. Alternatively, whole genomic DNA can be isolated, optionally amplified, and used as the substrate for recombination. Small samples of genomic DNA can be amplified by whole genome amplification with degenerate primers (Barrett et al., *Nucleic Acids Research* 23, 3488-3492 (1995)). These primers result in a large amount of random 3' ends, which can undergo homologous recombination when reintroduced into cells.

If the second round of recombination is to be performed *in vivo*, as is often the case, it can be performed in the cell surviving screening/selection, or the recombinant genes can be transferred to another cell type (e.g., a cell type having a high frequency of mutation and/or recombination). In this situation, recombination can be effected by introducing additional DNA segment(s) into cells bearing the recombinant genes. In other methods, the cells can be induced to exchange genetic information with each other by, for example, electroporation. In some methods, the second round of recombination is performed by dividing a pool of cells surviving screening/selection in the first round into two subpopulations (see Fig. 3). DNA from one subpopulation is isolated and transfected into the other population, where the recombinant gene(s) from the two subpopulations recombine to form a further library of recombinant genes. In these methods, it is not necessary to isolate particular genes from the first subpopulation or to take steps to avoid random shearing of DNA

during extraction. Rather, the whole genome of DNA sheared or otherwise cleaved into manageable size fragments is transfected into the second subpopulation. This approach is particularly useful when several genes are being evolved simultaneously and/or the location and identity of such genes within chromosome are not known.

The second round of recombination is sometimes performed exclusively among the recombinant molecules surviving selection. However, in other embodiments, additional substrates can be introduced. The additional substrates can be of the same form as the substrates used in the first round of recombination. That is, additional natural or induced mutants of the gene or cluster of genes, forming the substrates for the first round. Alternatively, the additional substrate(s) in the second round of recombination can be exactly the same as the substrate(s) in the first round of replication. Inclusion of a substrate representing a wildtype version of the gene or genes being evolved (i.e., a backcross) is useful to reduce the occurrence of neutral mutations (i.e., mutations that represent a sequence variation from a wildtype sequence but do not confer any useful DNA-uptake characteristics).

After the second round of recombination, recombinant genes conferring enhanced DNA-uptake are again selected. The selection process proceeds essentially as before. If a suicide vector bearing a selective marker was used in the first round of selection, the same vector can be used again. If the vector used in the first round of selection was not a suicide vector, and the same cells are being used for the first and second rounds of selection (as would usually happen if the second round of recombination is performed *in vivo*), the vector used in the second round of selection should have a second selective marker different from the first selective marker and preferably, an original of replication compatible with coexistence with the vector bearing the first selective marker. Again, a cell or pool of cells surviving selection is selected. If a pool of cells, the cells can be subject to further enrichment for desired recombinants before any subsequent

rounds of recombination. Optionally, cultures of cells can be propagated from individual colonies surviving selection and the cultures quantitatively compared for transfection efficacy (which may be determined by transfection capacity, transfection efficiency or % cells taking up DNA).

Subsequent rounds of recombination and screening/selection follow the same principles as the second round. The products of any round of selection/screening form at least one of the substrates for the next round of recombination. Each round of screening/selection can generate a pool of recombinants enriched for enhanced DNA uptake capacity, and subsequent rounds of recombination generate further diversity from the best recombinant sequences from a previous round. The stringency of selection can be increased at each round by decreasing the amount and/or concentration of vector bearing the selective marker. Eventually, cells surviving selection contain recombinant gene or genes conferring acceptable DNA-uptake characteristics. Ideally, such cells have a high degree of natural competence. That is, a significant proportion or cells (from about  $10^{-7}$  to 1) in a culture take up DNA on contact without chemical treatment or electroporation. Such cells also achieve substantial transfection efficiencies of about  $10^3$  to  $10^{10}$  colonies per  $\mu\text{g}$  of DNA. Depending in part on the cell type growth characteristics, several rounds of recombination and selection can be performed in only a few weeks, resulting in 10-, 100- or 1000-fold improvement in DNA uptake characteristics.

#### IV. Evolution of DNA Sequences to Enhance Uptake in a Vector

The invention further provides methods of enhancing DNA sequences suitable for inclusion on a vector that increase the efficiency with which that vector can be taken up or established by recipient cells (bacterial or eucaryotic) of interest. Such DNA sequences can have roles in transfer, integration, stability or expression of the vector containing them. Vectors including DNA-uptake enhancing sequences, can, if desired, be used for transfection of cells bearing the



modified genes discussed above. The starting substrates for evolving DNA sequences in the present methods can be from natural DNA sequences known or suspected to have a role in enhancing DNA uptake. Some examples of such sequences were discussed in the Background section. Such sequences can be from the same or different organism as the recipient cell type into which transfection of vectors bearing evolved sequences is contemplated. The starting substrates can also be theoretical or even random sequences not known to enhance vector uptake. For example, one of the starting substrates can simply be a standard cloning vector without an exogenous insert. Whatever sequences within the vector are closest to being a vector-uptake enhancing sequence evolve to fulfill this role.

As was the case in evolving sequences for incorporation into recipient cells, the substrates in the present methods differ in at least two nucleotides, such that increased diversity can be generated by recombination of two substrates. As previously discussed, the variation between the substrates can be the result of selection of allelic or species variant sequences, nonallelic but related sequences, or induced mutations.

The recursive recombination in the present methods follows the same pattern of recursive cycles of recombination and screening/selection described above. If a cycle of recombination is performed *in vitro*, the DNA segment being evolved may or may not be present as part of a vector having a marker sequence. If the DNA segment is evolved in isolation of a vector, the library of recombinant DNA segments resulting from recombination are inserted into a vector including a marker sequence capable of being expressed in the intended recipient cell type before the next screening/selection step. If a cycle of recombination is performed *in vivo*, the products of recombination should be isolated and, if not already part of a vector suitable for screening/selection, inserted into such a vector.

Screening/selection is effected by introducing a library of recombinant vectors bearing different recombined DNA

segments and a marker sequence into recipient cells of interest and screening or selecting a subpopulation of cells expressing the marker (see Fig. 4). The conditions in which the library of vectors is introduced into cells should be those in which it is contemplated that vectors incorporating the DNA segment being evolved will subsequently be used. For example, if it is intended to evolve a DNA segment for use in vectors taken up by natural competence, the library of recombinant vectors should be introduced into cells by a natural competence regime. If the evolved DNA segment is intended for use in vectors taken up by electroporation, the recombinant vectors should be introduced into cells by electroporation.

The subpopulation of cells expressing the marker sequence are enriched for vectors bearing recombinant segments enhancing the transfection efficiency of the vector. If desired, vector DNA can be reisolated from this subpopulation of cells and transfected into further cells. Cells surviving two rounds of selection/screening are further enriched for recombinant segments having the best DNA-uptake enhancing properties. If desired, individual recombinant vectors can be isolated and quantitatively compared for transfection efficiency. Because in the present methods, it is a vector sequence rather than a recipient cell that is being evolved, vectors can be transfected into fresh cells in each round of screening/selection. Thus, in general, there is no need to use suicide vectors or different markers in each round of screening/selection.

Subsequent rounds of recombination can be performed in vivo or in vitro. As discussed above, at least one substrate for subsequent rounds of recombination is the product(s) of a previous round. The other substrate can also be product(s) or previous round, one of the starting substrates, a different substrate. If in vitro, DNA is isolated from the cells surviving screening/selection, usually as an episome or amplified PCR fragment, before recombination. If recombination is performed in vivo, it can be performed either in the subpopulation of cells surviving screening/selection or DNA can

be isolated from these cells and transferred to other cells. In either situation, the recombinant DNA segments generated by recombination are isolated from the cells in which recombination occurred before performing the next round of selection/screening. Subsequent rounds of selection/screening are generally performed in fresh recipient cells and present no particular difficulties. Stringency of selection/screening can be increased in successive rounds by, for example, decreasing the ratio of recipient cells to transfected DNA.

Alternatively, the conditions can be made less conducive to transfection in successive rounds, e.g., by changing the transfection buffer or decreasing the time with which DNA is contacted with cells.

After several rounds of recombination and selection/screening, at least one of the surviving recombinant DNA vectors contains a segment conferring the desired transfection characteristics. For example, recipient cells of interest take up the vector with a transfection efficiency of about  $10^{-9}$ ,  $10^{-7}$ ,  $10^{-5}$ ,  $10^{-3}$ ,  $10^{-1}$  or 1 transfectants per input DNA molecule. If DNA segments have been recombined in isolated form (i.e., free of other vector sequences), the sequence conferring enhanced DNA uptake is readily localized to a specific region of a vector, and can be excised and transferred to other vectors by standard methods. These vectors can then be used in standard cloning procedures to achieve higher transfection efficiencies. Alternatively, and depending on the recipient cell for which the DNA sequence was evolved, vectors bearing evolved sequences can be transfected into cell types not hitherto commonly used in genetic engineering.

30

#### V. Evolution of Viral Receptors

The invention further provides methods for transferring and/or evolving viral receptors, and cells bearing heterologous and/or modified viral receptors generated by such methods.

Cells that are usually completely or substantially insusceptible to infection by a virus can be rendered susceptible to infection by expression of a heterologous or

35

modified viral receptor on their surface and/or by evolution of other cellular genes needed to support viral infection.

Receptors of greatest interest for evolution are those recognized by viruses commonly used in genetic engineering for which *in vitro* packaging systems are available or can be devised. The most well known such virus is phage lambda. Lambda DNA vectors bearing inserts can be packaged at high efficiency (e.g., up to about  $10^9$  pfu/ $\mu$ g) using commercially available packaging extracts. Other phage for which *in vitro* packaging systems have been reported include T3, Fujisawa et al., *Virology* 101, 327-334 (1978); T7, Masker et al. *J. Virol.* 27, 149-163 (1978); P22, Strobelt et al., 1984; and T1, Liebeschuetz et al., *Mol. Gen. Genet.* 200, 451-457 (1985). Additional receptors of interest are those recognized by viruses useful for transduction, such as P1 and T4.

Known viral receptors include *lamB* (recognized by phage lambda); the *E. coli* sex pilus, recognized by M13 (and other filamentous phage); and CD4, recognized by HIV. Other pairs of virus and known or suspected receptor(s) include: polio, Immunoglobulin superfamily protein; rhinovirus, ICAM-1; semliki forest, H-2 antigens, lactate dehydrogenase, or Ia antigens; rabies, acetylcholine receptor; vesicular stomatitis, phosphatidylserine; influenza A<sup>a</sup>, sialic acid; reovirus serotype 3,  $\beta$ -adrenergic receptor; Epstein-Barr, complement receptor 2 (CR2); vaccinia, epidermal growth factor receptor; hepatitis B, IgA receptor; measles virus, substance P, *Cell Mol. Neurobiol.* 12, 397-409 (1992); human cytomegalovirus, phosphorylated glycoprotein, *J. Virol.* 66, 4834-8 (1992); coxsackie B viruses, 100-kDa binding protein, *J. Virol.* 69, 6751-7 (1995); measles virus haemagglutinin, CD48, *J. Gen. Virol.* 76, 2793-800 (1995); human coronavirus 229E, human aminopeptidase N, *Nature* 357, 420-2 (1992); sindbis virus, laminin receptor, *J. Virol.* 66, 4992-5001 (1992).

Cell types of interest to serve as recipients of heterologous/evolved viral receptors are in general the same as the cell types listed as recipients for evolution of genes conferring competence (see Section III). Of particular

interest are bacterial cells other than *E. coli*, such as *Bacillus* and *Streptomyces*, yeast, and mammalian cells.

Often the initial substrates for recombination are from a single gene encoding the viral receptor of interest. For heteromultimeric receptors, genes encoding each subunit can be evolved simultaneously. The substrates can be variants of an intact gene or a subsequence thereof. As in other methods, the variation between the starting substrates for recombination can be the result of natural processes or induced. For viral receptors occurring only in a single cell type (e.g., *lamB* in *E. coli*), there is little available natural diversity, so the variation between the initial substrates is typically induced (e.g., by error-prone PCR, insertion of a mutation cassette or passage through a mutator strain). The initial substrates (and substrates in subsequent rounds of replication) can include additional DNA segments that contain genes of known or unknown function that are also required or facilitate introduction, establishment and/or productive infection of a virus in a recipient cell. It is not necessary that one know the location of such genes. For example, the substrates can include a full chromosome or genome of the cell to be rendered susceptible to viral infection.

If recombination is performed *in vitro*, the products of recombination are optionally linked to an expression vector, if they are not already so linked, and introduced into the cells to be rendered susceptible to viral infection. The manner of introduction (e.g., whether by chemical transformation, or electroporation) is not critical. If recombination is performed *in vivo*, it is usually performed in the cell type to be rendered susceptible to viral infection, and so no comparable step of introducing DNA is required. Irrespective how generated, populations of cells harboring recombinant genes are usually propagated to allow expression of the genes before the selection/screening step.

The manner of selection/screening depends on the ultimate goal in rendering a cell susceptible to viral infection. For most genetic engineering purposes, it is sufficient and often

preferable, that viral infection proceeds to allow replication of the viral genome and/or expression of any exogenous genes on the genome, but does not produce infectious viral particles and/or kill the host cell. If stable expression is the goal, screening/selection can be achieved by incorporating a marker sequence in the viral genome. Markers of the kind discussed in section III are equally suitable here. For example, Fig. 5A shows a virus encoding a marker being contacted with a collection of cells harboring a library of variant receptor genes (on a vector) and a library of variant forms of other genes associated with viral infection (chromosomally located). Cells expressing a receptor recognized by the virus and having other genes appropriate to support viral infection are infected with virus and the subpopulation of cells expressing the marker are screened or selected. As in the methods for evolving cellular competence genes (Section III), it is often preferable that the same screening/selection marker can be used in multiple rounds of selection/screening. This can be achieved by infecting recipient cells with suicidal virus analogous to the suicidal vectors previously discussed. That is, a suicidal virus can encode a combination of a long-lived toxin and a short-lived molecule which neutralizes the toxin (see Jense & Gerdes, *supra*).

If the goal is to achieve recipient cells susceptible to productive viral infection, a different manner of screening/selection is required. One approach is to FACS<sup>tm</sup>-sort for necrotic cells, which take up stain differently than viable cells. Alternatively, one can FACStm-sort for a viral (or marker) protein expressed on the outersurface of cells using a labelled target (e.g., an antibody) having specific affinity for the viral protein (see Fig. 5B). In still other methods, a viral gene encoding a function associated with productive viral infection is replaced with a marker sequence and one screens/selects for expression of the marker sequence. For example, many viruses encode a gene that degrades host cellular DNA. If expressed, this gene would usually kill the host cell. By replacing the gene with a marker, expression of the marker

serves to indicate that the cell is capable of expressing the lethal gene; nevertheless the cell survives thereby preserving the genetic materials that confer susceptibility to productive viral infection. The cells surviving screening/selection by  
5 any of these methods encode a viral receptor evolved to permit infection and/or other genes needed for the virus to productively infect the cells.

Subsequent steps in evolution of the viral receptor and/or other cellular genes that support viral infection proceeds in a  
10 closely analogous fashion to that described for evolving cellular competence genes. For example, further round(s) of selection/screening can be performed before performing the next recombination step. The next recombination step can be performed *in vitro* by isolating DNA from cells used in  
15 selection. Alternatively, further substrate(s) for recombination can be introduced into the cells surviving selection for a round of *in vivo* recombination. A particularly effective strategy for evolution of a viral receptor together with cellular genes of unknown location that support viral  
20 infection is one of dividing cells surviving a previous round of screening/selection in two pools. Total DNA is extracted from one pool and introduced into the other pool, where it recombines with endogenous DNA. Thus, the best recombinant DNA segments from a previous round of screening/selection are  
25 allowed to recombine with each other. Stringency can be increased in successive rounds of screening/selection by e.g., decreasing the time for which the virus is contacted with recipient cells.

The goal of evolving viral receptors and/or ancillary  
30 cellular genes is achieved when recipient cells can be infected with virus at a desired efficiency. In some applications, efficiency is not critical and it is sufficient that a cell that was previously substantially or completely insusceptible to viral infection is rendered at least somewhat susceptible to  
35 infection. In other application, such as generation of primary recombinant libraries in cloning procedures, efficiency can be important. Thus, receptors and/or ancillary genes are evolved

until an excess of recipient cells bearing the evolved genes are infected by virus at an efficiency of about  $10^{-6}$ ,  $10^{-4}$ ,  $10^{-2}$  or 1 infections per viral particle.

## 5 V. Evolution of Viruses

The invention further provides methods of evolving viruses to infect cells previously substantially insusceptible to viral infection. Viruses can also be evolved to change the nature of their infection (e.g., from lytic to lysogenic to permanent  
10 dormancy or vice versa). The methods of evolving viruses are closely analogous to the methods of evolving sequences for inclusion in DNA vectors to stimulate uptake. Viruses can be evolved either sequentially or concurrently with evolution of viral receptors. For example, one could perform one cycle of  
15 recombination and screening/selection for a viral receptor, and then use the cells surviving screening/selection in performing a cycle of viral evolution.

The substrates for viral evolution can be whole viral genomes or fragments. Fragments usually include regions  
20 thought to be critical to the feasibility and nature of viral infection, such as the viral origin of replication, viral genes involved in DNA replication and/or viral genes that shut down host functions. Often, the precise nature of sequences critical to viral infection is not known, in which case it is  
25 preferable to use a complete viral genome. Viruses constitute a repository of natural diversity both within and between viral strains. For example, there are three principal strains of HIV virus, HIV-I, HIV-II and HIV-III, and numerous subtypes of each strain. Diversity can also be induced by any of the methods  
30 discussed above.

A first round of viral recombination can be performed in vitro according to the same principles as described above. If the substrates for recombination are fragments, they should be inserted into a viral genome after recombination. Recombinant  
35 viral genomes are then packaged in vitro before screening/selection.

Recombination can also be performed in vivo in either the



cell type for which the virus is being evolved to infect or other cell types. If the former, viruses having genomes forming the initial substrates for recombination may be substantially incapable of infecting the cell type, and, if so, should be introduced by some other means, such as chemical transformation or electroporation. The products of recombination are harvested and, if not already constituting viral genomes, are ligated into such genomes *in vitro*, followed by *in vitro* packaging. *In vivo* recombination is simpler if the cell type in which recombination occurs is susceptible to viral infection. In this situation, cells can be infected at high multiplicity with viruses having genomes forming the substrates for recombination. Progeny virus are harvested from the cells including some having recombinant genomes.

The screening/selection step involves infecting the host cells with recombinant viruses. The nature of the screening/selection step depends on whether one wants to evolve viruses that can enter and express genes in a cell or whether one wants to evolve viruses to establish productive infection. If the former, the recombinant viruses should encode a screening/selection marker (see Fig. 6A). Because it is the virus rather than cells that being evolved, there is, in general, no need to use a different marker in different rounds of screening/selection or to render the viruses bearing the marker suicidal. If the goal is to select viruses capable of productive infection, there is no need to include a screening/selection marker. Rather, one simply harvests progeny virus resulting from infection with recombinant virus (see Fig. 6B). The progeny virus are enriched for recombinant viruses that are best evolved for productive infection. Further enrichment for such viruses can be obtained by performing any number of additional rounds of infection with progeny viruses and harvesting a further generation of progeny. Optionally, individual viruses can be compared for burst size, or doubling time, and the best virus(es) selected.

In general, subsequent rounds of recombination and selection follow the same principles as discussed in other

methods of evolution. The products of a previous round of replication exist either in the form of progeny viral particles (if the selection is for productive infection) or in the form of intracellular viral DNA (if selection is for a marker). For  
5 viral particles, viral DNA can easily be extracted for a subsequent round of *in vitro* recombination. Alternatively, the viruses can be used to infect a recipient cell at high multiplicity to allow *in vivo* recombination to occur. For intracellular viral DNA, the next round of recombination can be  
10 performed *in vivo* by introducing further viral substrate(s) into the cell. For example, cells bearing viral genomes surviving screening/selection can be divided into pools and DNA from one pool introduced into the other pool. Ultimately, viral genomes should be recovered from the cells and packaged  
15 for the next round of selection. Alternatively, intracellular viral DNA surviving one round of screening/selection can be extracted and the next round of recombination performed *in vitro*.

Evolved viruses are capable infecting cell types not  
20 normally infected by the virus, or of increasing the efficiency of infection of cell types that were previously somewhat susceptible to infection. Depending on the cell type and virus, efficiencies of  $10^{-8}$ ,  $10^{-6}$ ,  $10^{-4}$ ,  $10^{-2}$ ,  $10^{-1}$  and 1 infections per virus can be achieved from a few cycles of  
25 recombination and selection performed in a few weeks. For example, phage lambda can be evolved to infect mammalian cells, thereby allowing directing cloning of large libraries in such cells.

#### VI. Evolution of Conjugative Transfer Genes

30 Conjugation is the transfer of DNA occurring during contact between cells. See Guiney in: *Bacterial Conjugation* (Clewell, ed., Plenum Press, New York, 1993), pp.75-104; Reimann & Haas in *Bacterial Conjugation* (Clewell, ed., Plenum Press, New York, 1993), at pp. 137-188 (incorporated by  
35 reference in their entirety for all purposes). Conjugation occurs between many types of gram negative bacteria, and some types of gram positive bacteria. Conjugative transfer is also

known between bacteria and plant cells (*Agrobacterium tumefaciens*) or yeast.

Conjugative transfer is effected by an origin of transfer (*oriT*) and flanking genes (*MOB A, B and C*), and 15-25 genes, termed *tra*, encoding the structures and enzymes necessary for conjugation to occur. The transfer origin is defined as the site required in *cis* for DNA transfer. *Tra* genes include *tra A, B, C, D, E, F, G, H, I, J, K, L, M, N, P, Q, R, S, T, U, V, W, X, Y, Z, vir AB* (alleles 1-11), *C, D, E, G, IHF*, and *FinOP*. *OriT* is sometimes also designated as a *tra* gene. Other cellular enzymes, including those of the *RecBCD* pathway, *RecA*, *SSB* protein, *DNA gyrase*, *DNA polI*, and *DNA ligase*, are also involved in conjugative transfer. *RecE* or *recF* pathways can substitute for *RecBCD*.

The *tra* genes and *MOB* genes can be expressed in *cis* or *trans* to *oriT*. Vectors undergoing conjugation also have an origin of replication which is classified as belonging to an incompatibility group such as *Inc A, B, C, D, E, F (I-VI), H (I, Y), i (1, 2, 5, ALPHA), J, K, L, M, N, P (ALPHA, BETA, 1 ALPHA, 3, 7, 10, 13) Q, R (H1, H2, H3) S, T, U, W, X, Z*. Only vectors from different incompatibility groups can stably co-exist in the same cell. However, when two vectors from the same incompatibility group are transfected into the same cell, the vectors transiently coexist for sufficient time that recombination can occur between the vectors.

One structural protein encoded by a *tra* gene is the sex pilus, a filament constructed of an aggregate of a single polypeptide protruding from the cell surface. The sex pilus binds to a polysaccharide on a recipient cells and forms a conjugative bridge through which DNA can transfer. This process activates a site-specific nuclease encoded by a *MOB* gene, which specifically cleaves DNA to be transferred at *oriT*. The cleaved DNA is then threaded through the conjugation bridge by the action of other *tra* enzymes.

The general methods described above for evolution of genes conferring competence or encoding viral receptors can also be applied to evolution of one or more *tra* genes or other genes

with direct or indirect roles in conjugative transfer. The goal of evolving *tra* genes is to increase the frequency of conjugative transfer and/or to increase the range of cell-types between which conjugative transfer can occur. For example, bacterial *tra* genes can be evolved to mediate conjugative transfer from bacterial to mammalian cells.

Genes encoding conjugative transfer functions (i.e., *tra* genes and/or MOB genes) can be evolved individually or collectively, and optionally, in combination with other cellular genes with indirect roles in conjugation (e.g., a DNA ligase gene). *OriT* can be evolved concurrently or sequentially with genes encoding conjugative transfer proteins. It is also possible to evolve a specific subsequence within a *tra* gene. The variation between initial recombination substrates can be natural or induced as discussed above. Both *in vivo* and *in vitro* formats for recombination are possible.

Regardless how performed, a cycle of recombination generates a diverse library of conjugative transfer genes, which are assayed for conjugative transfer activity by an *in vivo* assay. The screening/selection assay requires cells containing vectors, each encoding a member of the *tra* gene library. If a segment of a *tra* gene has been varied in isolation of flanking gene sequences, the recombinant segments are reassociated with the original flanking sequences in the vector. The vector also contains an origin of transfer, and a marker sequence. The vector further contains at least one origin of replication. If transfer between different cell types is contemplated, the vector can contain two origins of replication, one functional in each cell type (i.e., a shuttle vector). Alternatively, if it is intended that transferred genes should integrate into the chromosome of recipient cells, it is preferable that the vector not contain an origin of replication functional in the recipient cells (i.e., a suicide vector).

The *oriT* site and/or MOB genes can be introduced into a vector by cloning or transposing the RK2/RP4 MOB function (Guiney, *J. Mol. Biol.* 162, 699-703 (1982)), or by cointegrate

formation with a MOB-containing plasmid. A convenient method for large plasmids is to use 'Tn5-Mob', which is the Tn5 transposon containing the *oriT* of RP4. For example, pUC-like mobilizable vectors pK18 and pK19 (Schafer et al. (1995) Gene 145:69-73) are suitable starting vectors for cloning the *tra* gene library to be evolved.

The cells containing the conjugative transfer gene library should be capable of expressing a full complement of conjugative transfer genes such that conjugative transfer can occur. If all of the conjugative genes are being evolved simultaneously, a library member usually contains each of the genes, and all such genes are present on the vector. In methods in which one or more conjugative transfer genes are varied while other *tra* genes are kept constant, the genes being varied are present on the vector. The other genes can be present on the vector, or on a second vector or can be part of host chromosomal DNA.

The collection of cells containing vectors encoding a diverse library of conjugative transfer genes (the first collection of cells) are contacted with a second collection of cells for a sufficient period of time for conjugative transfer to occur to some cells in the second collection. Conjugative transfer is generally more highly efficient when performed in solid media. The proportions of the second collection of cells to the first can vary widely but usually the second collection of cells are present in excess. During the contact period, cells from the first collection harboring the conjugative transfer gene library that have the best genes for conjugative transfer preferentially transfer their vectors including conjugative transfer gene(s) and the vector marker to a cell from the second collection of cells. After a suitable contact period, (which can be decreased after successive rounds of recombination to increase the stringency of screening/selection), cells expressing the marker are screened/selected. Usually, as well as screening/selecting for the vector marker, one selects either against the cells from the first collection or for cells from the second collection.

This can be achieved either by including a negative selection marker (e.g., HSV-tk, hprt, gpt) in the cells from the first collection or a positive selection marker in the cells from the second collection. The cells from the second collection that survive screening/selection are enriched for vectors encoding the tra genes with the best properties from the tra library.

The format for screening/selecting evolved tra genes is particularly amenable to performing successive rounds of in vivo recombination and screening/selection. For example, in vivo recombination can be achieved by propagating a collection of cells containing vectors encoding a diverse library of tra genes to be evolved as described above. Optionally, some members of the library of conjugative transfer genes can be contained with the host chromosome as well as inserted into the vectors. Simply by propagating the cells, vectors bearing functional conjugative transfer genes are conjugatively transferred between cells where they can undergo recombination with vectors or chromosomes already present in recipient cells. The genes having the best conjugative transfer properties undergo transfer and therefore recombination most frequently. Thus, there is rapid evolution toward the best recombinant forms of tra gene for supporting conjugative transfer.

Although not necessary, recombination is sometimes facilitated by inserting the diverse conjugative transfer gene library into two different kinds of vectors having different incompatibility origins. Each vector should have a MOB function. Use of two such kinds of vectors allows stable coexistence of multiple vectors within the same cell and increases the efficiency of recombination between the vectors.

After allowing transfer and recombination to proceed for a desired period (which will depend on the cell type), screening/selection can be performed without the need to isolate or transfect tra library members. The collection of cells containing conjugative transfer gene library members is contacted with a second population of cells as described above, and cells from the second collection expressing marker transferred from the first collection are screened/selected.

The cells from the second collection can then be propagated to allow a further round of conjugative transfer and recombination of vectors.

Fig. 7 shows an exemplary scheme for selection of conjugation gene. The left of the figure shows a first collection of cells containing a library of variant *tra* genes on a mobilizable vector which also has an *oriT* site and a marker sequence. The first collection of cells is conjugated with a second collection of cells expressing a second marker as shown in the top right of the figure. Cells expressing both the first and second markers are selected. These cells are enriched for mobilizable vectors containing the best *tra* genes (i.e., *tra* genes that mediate intercellular transfer of vectors most efficiently).

All publications and patent applications cited above are herein incorporated by reference in their entirety for all purposes to the same extent as if each individual publication or patent application were specifically and individually indicated to be so incorporated by reference. Although the present invention has been described in some detail by way of illustration and example for purposes of clarity and understanding, it will be apparent that certain changes and modifications may be practiced within the scope of the appended claims.

WHAT IS CLAIMED IS:

1 1. A method of enhancing competence of a cell, comprising:  
2 (1) recombining at least first and second DNA segments  
3 from at least one gene conferring DNA competence, the segments  
4 differing from each other in at least two nucleotides, to  
5 produce a library of recombinant genes;

6 (2) screening at least one recombinant gene from the  
7 library that confers enhanced competence in the cell relative  
8 to a wildtype form of the gene;

9 (3) recombining at least a segment from the at least one  
10 recombinant gene with a further DNA segment from the at least  
11 one gene, the same or different from the first and second  
12 segments, to produce a further library of recombinant genes;

13 (4) screening at least one further recombinant gene from  
14 the further library of recombinant genes that confers enhanced  
15 competence in the cell relative to a previous recombinant gene;

16 (5) repeating (3) and (4), as necessary, until the  
17 further recombinant gene confers a desired level of enhanced  
18 competence in the cell.

1 2. The method of claim 1, wherein recombinant genes are  
2 screened by selection.

1 3. The method of claim 1, wherein at least one recombinant  
2 gene is extracted from the cell after at least one of the  
3 selecting steps.

1 4. The method of claim 1, wherein the second segment is  
2 produced by error-prone PCR replication of the first segment or  
3 propagation of the first segment in a mutator strain.

1 5. The method of claim 1, wherein the second segment is the  
2 same as the first segment except that a portion of the first is  
3 substituted with a mutagenic cassette.

1 6. The method of claim 1, wherein the first and second



1 segments are species variants.

1 7. The method of claim 1, wherein the first and second  
2 segments are from the same gene.

1 8. The method of claim 1, wherein the first segment is a  
2 subsequence of the second segment except for 5-20 mutations.

1 9. The method of claim 1, wherein at least one recombining  
2 step is performed *in vitro*, and the resulting library of  
3 recombinants is introduced into the cell whose competence is to  
4 be enhanced generating a library of cells containing different  
5 recombinants.

1 10. The method of claim 9, wherein the *in vitro* recombining  
2 step comprises:  
3 cleaving the first and second segments into fragments;  
4 mixing and denaturing the fragments; and  
5 incubating the denatured fragments with a polymerase under  
6 conditions which result in annealing of the denatured fragments  
7 and formation of the library of recombinant genes.

1 11. The method of claim 10, wherein the library is introduced  
2 into the cell by electroporation.

1 12. The method of claim 10, wherein the library is introduced  
2 into the cell by biolistics.

1 13. The method of claim 9, further comprising selecting a pool  
2 of cells comprising recombinant genes conferring enhanced  
3 competence from the library.

1 14. The method of claim 13, wherein the pool of cells is  
2 selected by transfecting a vector encoding a selective marker  
3 into the library of cells containing different recombinants,  
4 and selecting for cells expressing the selective marker.

1 15. The method of claim 14, wherein the vector encoding the  
2 selective marker is a suicide vector.

1 16. The method of claim 13, further comprising  
2 dividing the pool of cells into first and second pools,  
3 isolating the recombinant genes from the first pool, and  
4 transfecting the recombinant genes from the first pool  
5 into the second pool wherein the recombinant genes from the  
6 first and second pools recombine to produce the further library  
7 of recombinant genes.

1 17. The method of claim 1, wherein at least one recombining  
2 step is performed *in vivo*.

1 18. The method of claim 17, wherein the recombining step is by  
2 homologous recombination.

1 19. The method of claim 17, wherein the recombining step is by  
2 site specific recombination.

1 20. The method of claim 1, wherein the recombining step is  
2 performed in the cell whose competence is to be enhanced.

1 21. The method of claim 1, wherein further DNA segment is a  
2 recombinant gene produced in a previous step.

1 22. The method of claim 1, wherein the further DNA segment is  
2 a library of recombinant genes produced in a previous step.

1 23. The method of claim 1, wherein the at least one  
2 recombinant gene is a pool of recombinant genes.

1 24. The method of claim 1, wherein one of the DNA segments  
2 consists essentially of a wildtype form of the at least one  
3 gene.

1 25. The method of claim 1, wherein at least one of the DNA

2 segments comprises a substantially complete genome.

1 26. The method of claim 1, wherein the DNA segments each  
2 comprises a cluster of genes collectively conferring DNA uptake  
3 capacity.

1 27. A modified form of a cell, wherein the modification  
2 comprises an exogenous gene conferring enhanced competence  
3 relative to the cell.

1 28. The modified form of a cell of claim 27, wherein the gene  
2 is *stf* or *sxy*.

1 29. The recombinant cell of claim 27, wherein the exogenous  
2 gene is from a different species than the cell.

1 30. The method of claim 1, wherein at least one of the  
2 recombining steps is performed by propagating a collection of  
3 cell, each cell containing a vector comprising an origin of  
4 transfer and a member of a recombinant gene library, and each  
5 cell expressing *tra* genes whose expression products conjugally  
6 transfer the vector between cells.

1 31. The method of claim 30, wherein the *tra* genes are encoded  
2 by the vector.

1 32. A method of enhancing transfection efficiency of a vector  
2 into a cell, comprising:

3 (1) recombining a DNA segment to be evolved for enhancing  
4 transfection efficiency with at least a second DNA segment, the  
5 at least a second DNA segment differing from the DNA segment in  
6 at least two nucleotides, to produce a library of recombinant  
7 DNA segments;

8 (2) transfecting a library of recombinant vectors each  
9 comprising a marker sequence and a recombinant DNA segment from  
10 the library into a population of cells and screening for a  
11 subpopulation of the cells expressing the marker sequence;

12 (3) recombining at least one recombinant DNA segment from  
13 the subpopulation of cells with a further DNA segment, the same  
14 or different from the first and second segments, to produce a  
15 further library of recombinant DNA segments;

16 (4) transfecting a further library of recombinant  
17 vectors, each comprising a second marker sequence, the same or  
18 different from the first marker sequence, and a further  
19 recombinant DNA segment from the further library into a further  
20 population of cells and screening for a further subpopulation  
21 of cells expressing the marker sequence; and

22 (5) repeating (3) and (4), as necessary, until a  
23 recombinant vector from one of the further libraries has a  
24 desired transfection efficiency in the cell.

1 33. The method of claim 32, wherein the marker is a selective  
2 marker and the screening step is by selection.

1 34. The method of claim 32, wherein the DNA segment to be  
2 evolved is a component of a vector comprising the marker  
3 sequence in the recombining step.

1 35. The method of claim 32, wherein each of the recombinant  
2 DNA segments from the subpopulation of cells expressing the  
3 selection marker are recombined with the further DNA segment.

1 36. The method of claim 32, wherein a pool of the recombinant  
2 vectors most frequently represented in the subpopulation of  
3 cells expressing the selection marker are recombined with the  
4 further DNA segment.

1 37. The method of claim 36, wherein the DNA segment is from a  
2 different organism than the cell.

1 38. The method of claim 32, wherein the second and further DNA  
2 segments have at least 80% sequence identity to the DNA  
3 segment.

1 39. The method of claim 32, further comprising excising the  
2 evolved DNA segment from the vector.

1 40. The method of claim 39, further comprising inserting the  
2 evolved DNA segment into a second vector to form a modified  
3 second vector.

1 41. The method of claim 40, further comprising transfecting  
2 the modified second vector into a chosen cell, the evolved DNA  
3 segment enhancing the transfection capacity of the modified  
4 second vector relative to the second vector.

1 42. A cell line modified by introduction of an exogenous  
2 vector expressing a receptor of a virus on the cell surface,  
3 the receptor conferring susceptibility of the modified cell  
4 line to infection by the virus, which susceptibility is  
5 substantially lacking in the cell line.

1 43. The cell line of claim 42, wherein the viral receptor is  
2  $\lambda$ MB, the virus is  $\lambda$  and the cell line is other than *E. coli*.

1 44. The cell line of claim 42, wherein the cell line is  
2 eucaryotic and the virus is a phage.

1 45. A method of evolving a receptor of a virus to confer  
2 enhanced susceptibility to viral infection in a cell,  
3 comprising  
4 (1) recombining a first DNA segment encoding the viral  
5 receptor or a fragment thereof with at least a second DNA  
6 segment, the segments differing from each other in at least two  
7 nucleotides, to produce a library of recombinant genes encoding  
8 recombinant viral receptors;

9 (2) contacting a population of cells harboring the  
10 recombinant genes and expressing the viral receptors encoded by  
11 the recombinant genes on their surface with the virus and  
12 selecting cells that become infected with the virus;

13 (3) recombining at least one recombinant gene, or a

14 fragment thereof, from the cells that become infected with a  
15 further DNA segment, the same or different from the first and  
16 second segments, to produce a further library of recombinant  
17 genes;

18 (4) contacting a second population of cells harboring the  
19 further library of recombinant genes and expressing the viral  
20 receptors encoded by the library on their surface with the  
21 virus, and selecting a further subpopulation of cells that  
22 become infected with viral DNA;

23 (5) repeating steps (3) and (4) as necessary until a  
24 recombinant gene from a further library confers a desired  
25 susceptibility to viral infection in the cell.

1 46. The method of claim 45, wherein the virus is modified to  
2 encode a marker.

1 47. The method of claim 46, wherein the marker replaces an  
2 endogenous viral gene whose expression results in lytic  
3 infection.

1 48. The method of claim 45, wherein the viral receptor is  
2  $\lambda$ MB, and the virus is  $\lambda$ MB.

1 49. The method of claim 45, wherein the viral receptor is  
2 heterologous to the cell.

1 50. The method of claim 45, wherein the cell is substantially  
2 insusceptible to infection of the virus without expression of  
3 an evolved receptor.

1 51. A method of directing evolution of a virus to increase the  
2 efficiency with which it infects a host cell, comprising:

3 (1) recombining a DNA segment from the virus to be  
4 evolved with at least a second DNA segment, the second DNA  
5 segment differing from the first DNA segment in at least two  
6 nucleotides, to produce a library of recombinant DNA segments;

7 (2) contacting host cells with a collection of viruses

8 having genomes including the recombinant DNA segments, and  
9 screening for viruses that infect the host cells,

10 (3) recombining at least one recombinant DNA segment from  
11 a virus infecting the host cells with a further DNA segment,  
12 the same or different from the first and second segments, to  
13 produce a further library of recombinant DNA segments;

14 (4) contacting host cells with a collection of viruses  
15 having genomes including the further recombinant DNA segments,  
16 and screening for viruses that infect the cells,

17 (5) repeating (3) and (4), as necessary, until a virus  
18 having a genome including a recombinant segment from a further  
19 library infects the host cells with a desired efficiency.

1 52. The method of claim 51, wherein the host cell is not  
2 naturally susceptible to infection by the virus.

1 53. The method of claim 52, wherein the DNA segment is a whole  
2 viral genome.

1 54. The method of claim 50, wherein the viral genomes further  
2 comprise a selective marker and the viruses are screened by  
3 selecting cells that express the selective marker.

1 55. The method of claim 50, wherein viruses infecting cells  
2 are screened by collecting progeny viruses resulting from  
3 infection.

1 56. The method of claim 55, wherein the host cells are spread  
2 in a layer and the viruses are screened by detecting plaques.

1 57. A method of evolving a gene to confer enhanced conjugative  
2 transfer, comprising:

3 (1) recombining at least first and second DNA segments  
4 from at least one conjugative transfer gene, the segments  
5 differing from each other in at least two nucleotides, to  
6 produce a library of recombinant genes;

7 (2) screening at least one recombinant gene from the

8 library that confers enhanced conjugal transfer between cells  
9 relative to a wildtype form of the gene;

10 (3) recombining at least a segment from the at least one  
11 recombinant gene with a further DNA segment from the at least  
12 one gene, the same or different from the first and second  
13 segments, to produce a further library of recombinant genes;

14 (4) screening at least one further recombinant gene from  
15 the further library of recombinant genes that confers enhanced  
16 conjugal transfer between cell relative to a previous  
17 recombinant gene;

18 (5) repeating (3) and (4), as necessary, until the  
19 further recombinant gene confers a desired level of enhanced  
20 conjugal transfer between cells.

1 57. A method of enhancing conjugal transfer of nucleic acids  
2 between cells, comprising:

3 (1) propagating a collection of cells containing vectors  
4 comprising an origin of transfer, a marker sequence, and a  
5 library member sequence from a library of variant forms of a  
6 conjugative transfer gene, whereby the library member sequences  
7 conjugally transfer between cells and recombine with each other  
8 to generate vectors comprising recombinant library member  
9 sequences;

10 (2) contacting the collection of cells with a second  
11 collection of cells;

12 (3) screening for cells from the second collection of  
13 cells that express the marker sequence;

14 (4) propagating the cells identified in the previous  
15 screening step whereby recombinant library member sequences  
16 conjugally transfer between the cells and recombine with each  
17 other to generate vectors comprising further recombinant  
18 library member sequences;

19 (5) contacting the cells from the previous step with a  
20 further collection of cells;

21 (6) screening for cells from the further collection of  
22 cells that express the marker sequence;

23 (7) repeating (4), (5) and (6) as necessary until a



24 further recombinant library member sequence is obtained  
25 conferring conjugal transfer with a desired efficiency.

1 58. The method of claim 57, wherein the vectors comprises  
2 first vectors having a first origin of replication and second  
3 vectors having a second origin of replication.

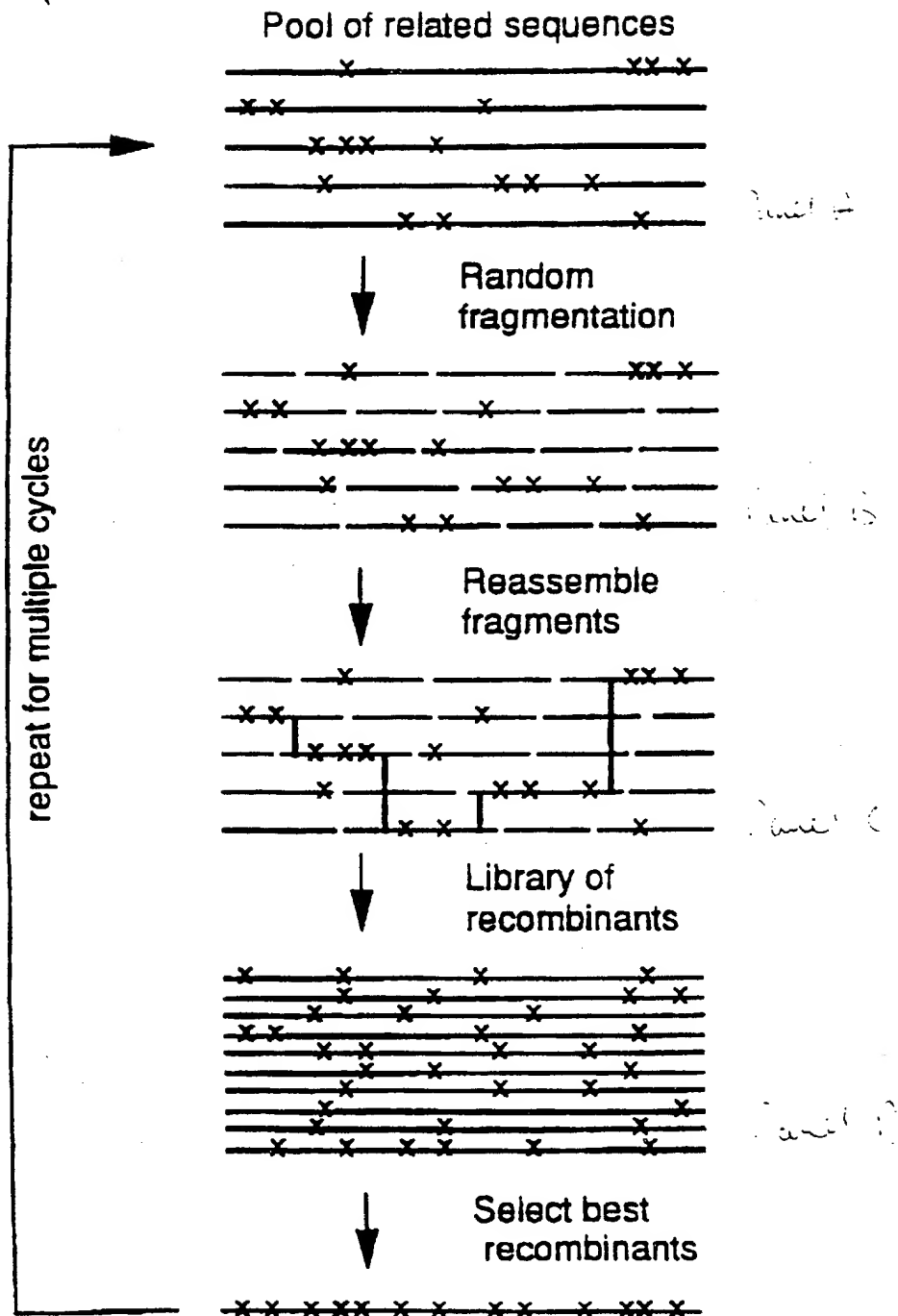
1 59. The method of claim 58, wherein the conjugative transfer  
2 gene is selected from the group consisting of traA-2, IHF, and  
3 FinOP.

1 60. The method of claim 57, wherein the second collection of  
2 cells expresses a second marker.

1 61. The method of claim 57, wherein the collection of cells  
2 expresses a negative selection marker and the method comprises  
3 screening for cells expressing the selection marker and against  
4 cells expressing the negative selection marker.

1 62. The method of claim 57, wherein the library of variant  
2 forms of the conjugative transfer gene is generated by *in vitro*  
3 recombination.

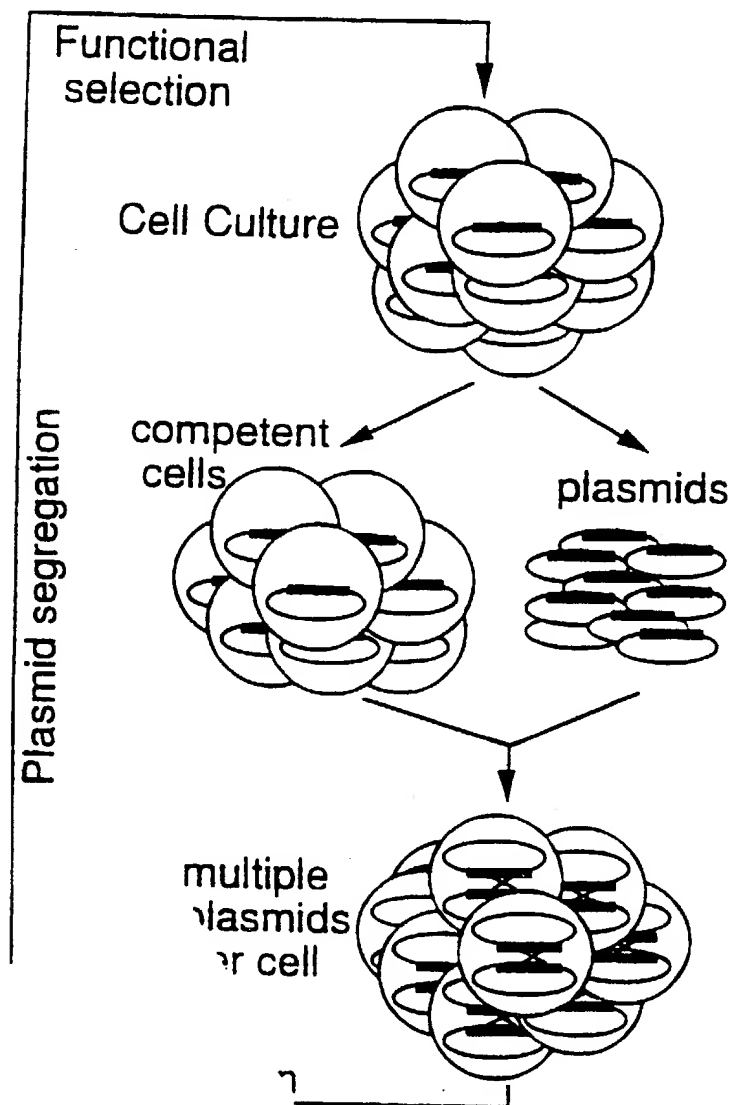
Fig. 1



2/9

Fig. 2

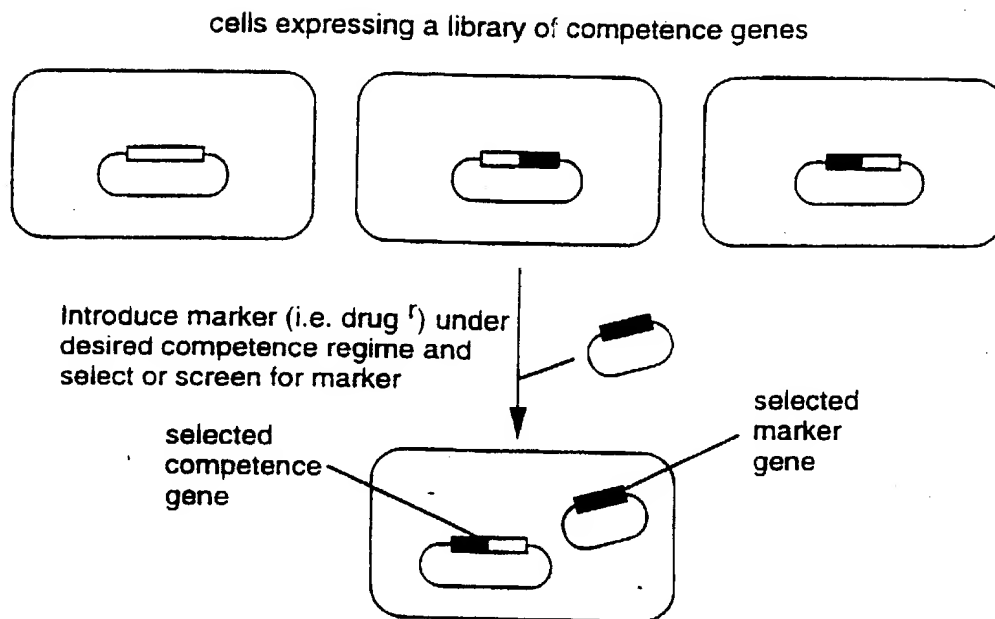
## Split-Pool Evolution of Plasmids



3/9

Fig. 3

## Selecting Competence Genes



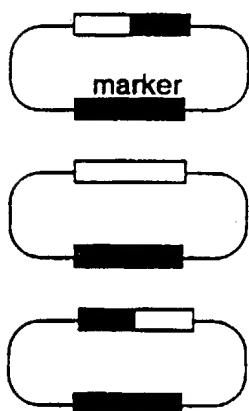
**Enrichment for cells containing the best competence genes**

4/9

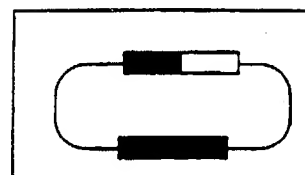
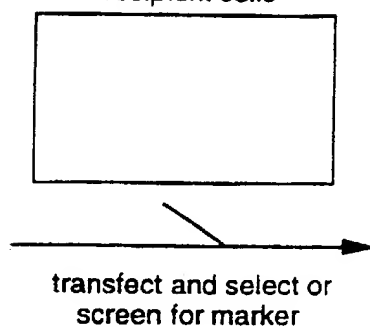
Fig. 4

## Selecting DNA Uptake Sequences

Library of vectors  
containing different  
DNA uptake sequences



recipient cells

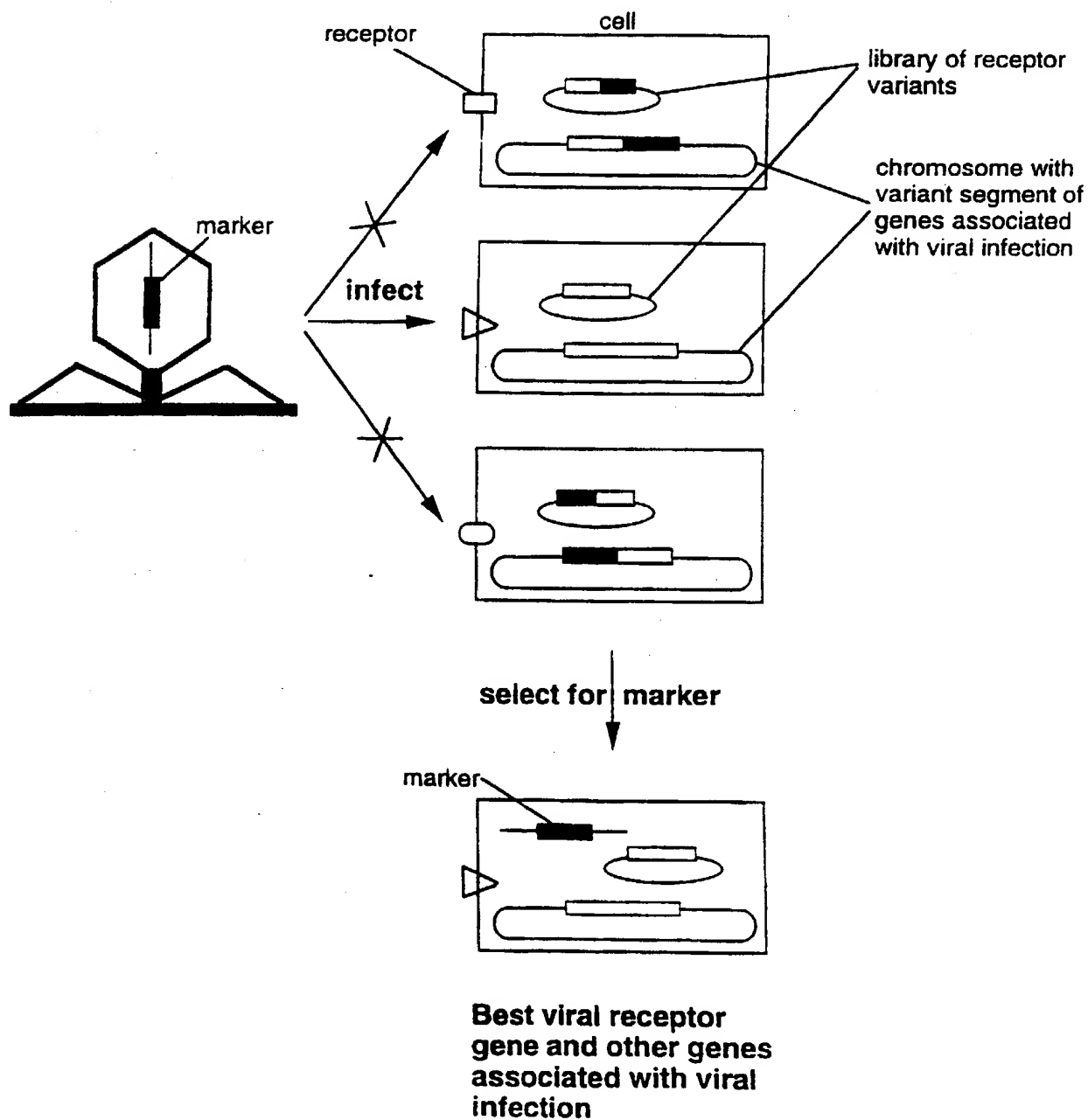


surviving cells enriched for  
best DNA uptake sequences

5/9

Fig. 5 1 of 2

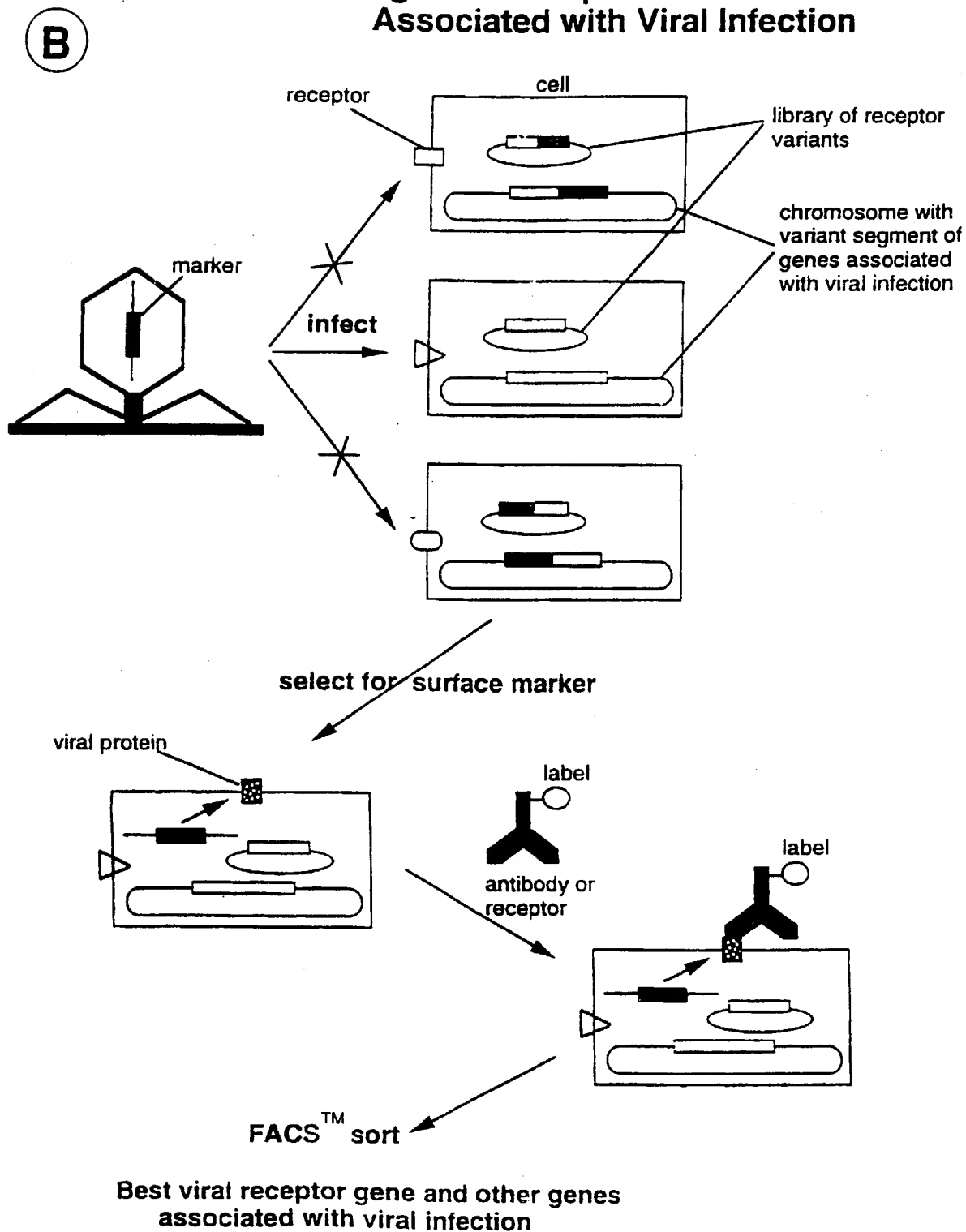
## Selecting Viral Receptors and Cellular Genes Associated with Viral Infection

**A**

6/9

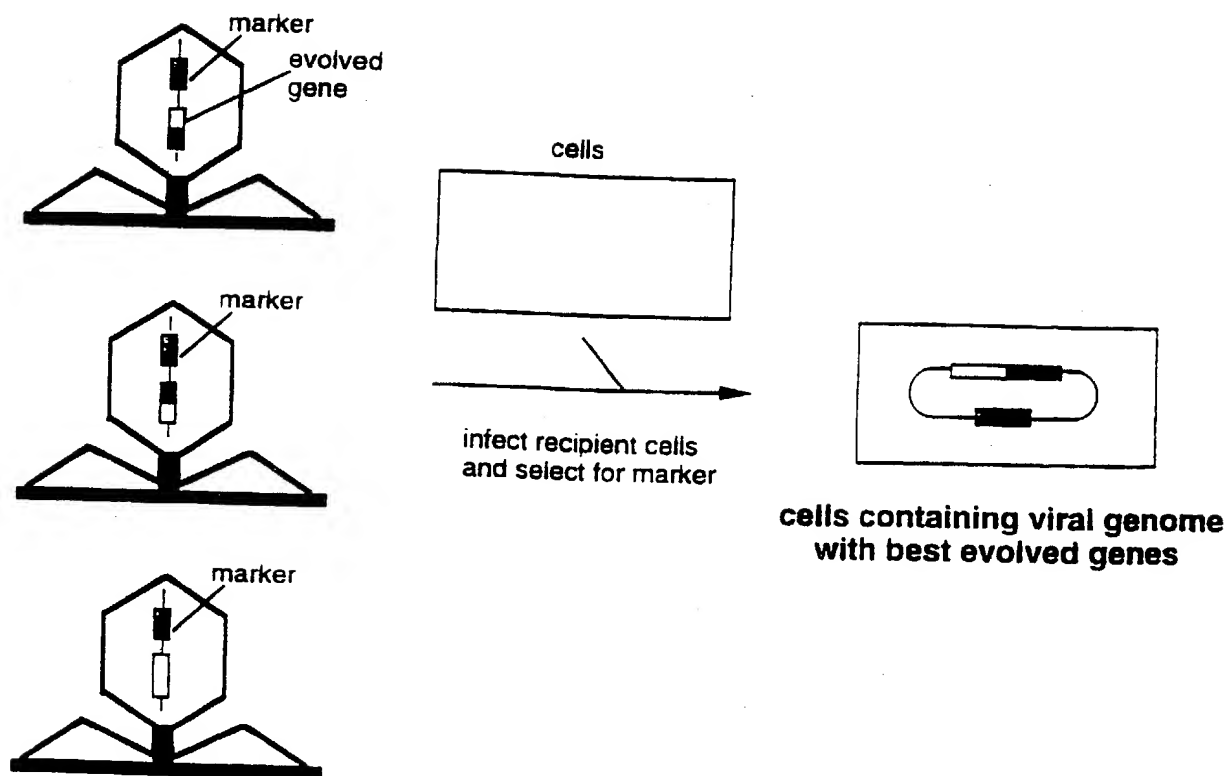
Fig. 5 2 of 2

### Selecting Viral Receptors and Cellular Genes Associated with Viral Infection



7/9

Fig 6. 1062

**Viral Selection****A**



8/9

Fig. 6 2 of 2.

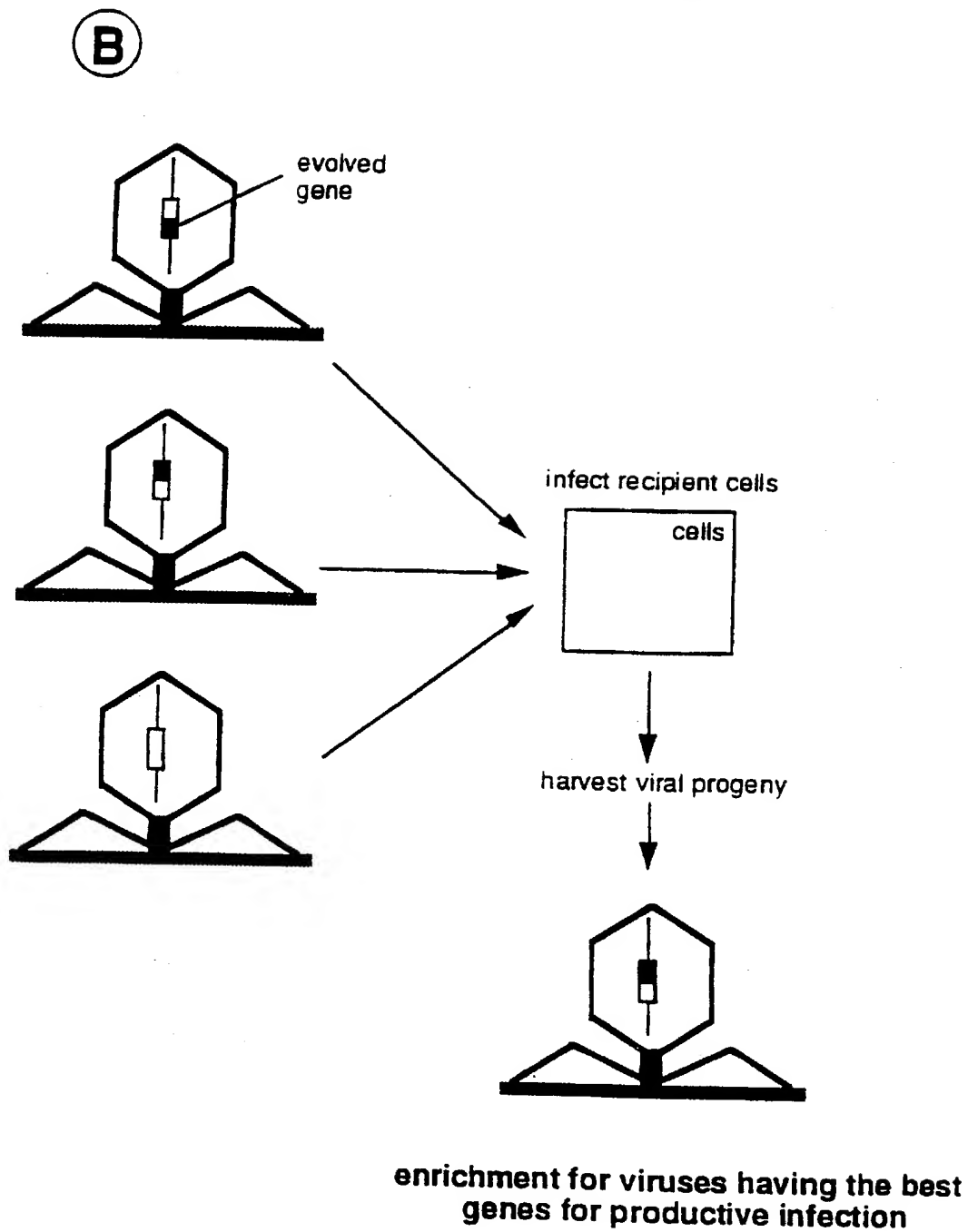
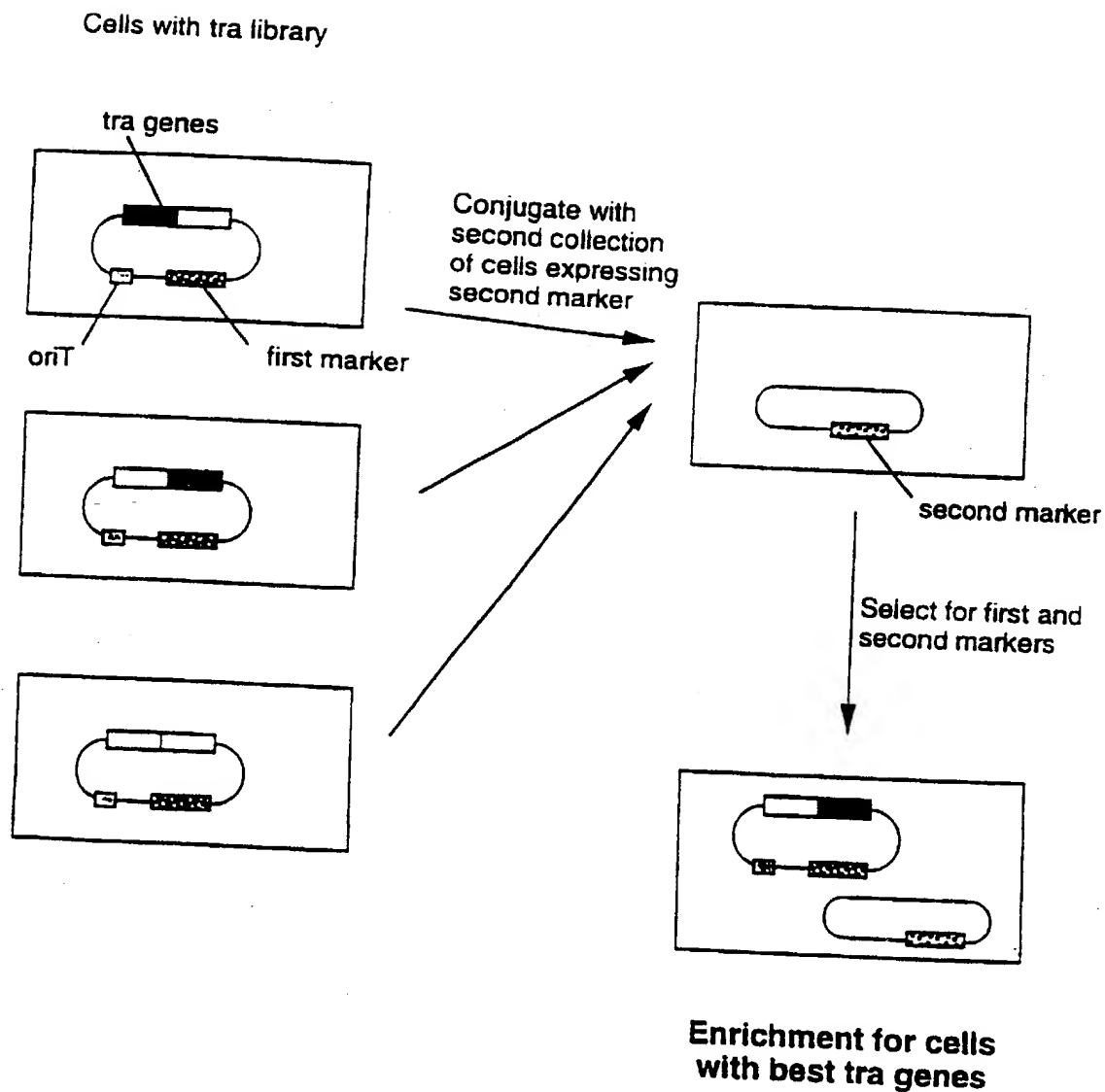
**Viral Selection**

Fig. 7

9/9

## Selection of Conjugation Genes



## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US97/04494

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(6) : C12N 1/21, 5/00, 15/00

US CL : 435/172.3, 252.3, 325

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 435/172.3, 252.3, 325

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

Please See Extra Sheet.

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	DE VRIES G.E. et al. Extension of bacteriophage lambda host range: Selection, cloning, and characterization of a constitutive lambda receptor gene. Proc. Natl. Acad. Sci. USA. October 1984. Vol 81. pages 6080-6084, see entire document.	42, 43
Y	STEMMER W.P.C. Rapid evolution of a protein in vitro by DNA shuffling. Nature. 04 August 1994. Vol 370. pages 389-391, see entire document.	1-62
Y	STEMMER W.P.C. DNA shuffling by random fragmentation and reassembly: In vitro recombination for molecular evolution. Proc. Natl. Acad. Sci. USA. October 1994. Vol 91. pages 10747-10751, see entire document.	1-62

☒ Further documents are listed in the continuation of Box C.
 ☐ See patent family annex.

* Special categories of cited documents:	T	later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
*A* document defining the general state of the art which is not considered to be of particular relevance	X*	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
*E* earlier document published on or after the international filing date	Y*	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	A*	document member of the same patent family
*O* document referring to an oral disclosure, use, exhibition or other means		
*P* document published prior to the international filing date but later than the priority date claimed		

Date of the actual completion of the international search

05 MAY 1997

Date of mailing of the international search report

09 JUL 1997

Name and mailing address of the ISA/US  
Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231

Facsimile No. (703) 305-3230

Authorized officer

ROBERT A SCHWARTZMAN

Telephone No. (703) 308-0196

# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US97/04494

## C (Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	STEMMER W.P.C. Searching sequence space: Using recombination to search more efficiently and thoroughly instead of making bigger combinatorial libraries. Bio/Technology. June 1995. Vol 13. pages 549-553.	1-62

## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US97/04494

### B. FIELDS SEARCHED

Electronic data bases consulted (Name of data base and where practicable terms used):

APS; STN: Medline, Biosis, Embase, CAPus, WPIDS, JAPIO, PATSOEP, PATOSWO  
recombination, recursive, competence, transfection, efficiency, virus, receptor, bacteriophage, conjugative transfer,  
DNA shuffling, molecular evolution

